

CLOSED, APPEAL, ECF

**U.S. District Court  
Southern District of New York (Foley Square)  
CIVIL DOCKET FOR CASE #: 1:08-cv-03324-RWS**

Securities and Exchange Commisison v. Pentagon Capital  
Management PLC et al  
Assigned to: Judge Robert W. Sweet  
Cause: 15:77 Securities Fraud

Date Filed: 04/03/2008  
Date Terminated: 03/28/2012  
Jury Demand: None  
Nature of Suit: 850  
Securities/Commodities  
Jurisdiction: U.S. Government Plaintiff

**Plaintiff****Securities and Exchange Commisison**

represented by **Mark K. Schonfeld**  
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V.

**Defendant**

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**Defendant**

**Lewis Chester**

represented by **Matthew D. Foster**

(See above for address)  
*TERMINATED: 07/13/2012*  
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**Christopher F. Robertson**  
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**Frank Charles Razzano**  
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*TERMINATED: 07/13/2012*

**Relief Defendant**

**Pentagon Special Purpose Fund,  
 LTD.**

represented by **Matthew D. Foster**  
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*LEAD ATTORNEY*  
*PRO HAC VICE*  
*ATTORNEY TO BE NOTICED*

**Frank Charles Razzano**  
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*TERMINATED: 07/25/2012*

**ADR Provider**

**Federated Investors, Inc.**

represented by **Daniel K. Winters**  
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Date Filed	#	Docket Text
04/03/2008	<a href="#"><u>1</u></a>	COMPLAINT against Pentagon Capital Management PLC, Lewis Chester, Pentagon Special Purpose Fund, LTD.. (Filing Fee \$ 00.00, Receipt Number 00.00)Document filed by Securities and Exchange Commission.(pl) (Entered: 04/04/2008)
04/03/2008		SUMMONS ISSUED as to Pentagon Capital Management PLC, Lewis Chester, Pentagon Special Purpose Fund, LTD. (pl) (Entered: 04/04/2008)
04/03/2008		Magistrate Judge Michael H. Dolinger is so designated. (pl) (Entered: 04/04/2008)

04/03/2008		Case Designated ECF. (pl) (Entered: 04/04/2008)
05/01/2008	<a href="#">2</a>	NOTICE OF APPEARANCE by Frank Charles Razzano on behalf of Pentagon Capital Management PLC, Lewis Chester, Pentagon Special Purpose Fund, LTD. (Razzano, Frank) (Entered: 05/01/2008)
05/05/2008	<a href="#">3</a>	NOTICE OF APPEARANCE by Paul G. Gizzi on behalf of Securities and Exchange Commisison (Gizzi, Paul) (Entered: 05/05/2008)
05/05/2008	<a href="#">4</a>	WAIVER OF SERVICE RETURNED EXECUTED. Pentagon Capital Management PLC waiver sent on 4/4/2008, answer due 6/3/2008; Lewis Chester waiver sent on 4/4/2008, answer due 6/3/2008; Pentagon Special Purpose Fund, LTD. waiver sent on 4/4/2008, answer due 6/3/2008. Document filed by Securities and Exchange Commisison. (Attachments: # <a href="#">1</a> Attachment)(Gizzi, Paul) (Entered: 05/05/2008)
05/06/2008	<a href="#">5</a>	NOTICE OF APPEARANCE by Mark Daniel Salzberg on behalf of Securities and Exchange Commisison (Salzberg, Mark) (Entered: 05/06/2008)
05/08/2008	<a href="#">6</a>	ENDORSED LETTER addressed to Judge Robert W. Sweet from Ivan B. Knauer dated 5/7/2008 re: Counsel for all parties request this Court grant an extension for the defendants to answer or otherwise respond to the complaint until August 1, 2008. ENDORSEMENT: So ordered. (Signed by Judge Robert W. Sweet on 5/7/2008) (jfe) (Entered: 05/09/2008)
05/14/2008	<a href="#">7</a>	RULE 7.1 CORPORATE DISCLOSURE STATEMENT. No Corporate Parent. Document filed by Pentagon Capital Management PLC, Lewis Chester, Pentagon Special Purpose Fund, LTD..(Razzano, Frank) (Entered: 05/14/2008)
05/14/2008	<a href="#">8</a>	ENDORSED LETTER addressed to Judge Robert W. Sweet from Paul G. Gizzi dated 5/7/2008 re: Counsel writes to request an extension of time to file a responsive pleading until 8/1/08. ENDORSEMENT: So Ordered. (Signed by Judge Robert W. Sweet on 5/13/2008) (tve) (Entered: 05/14/2008)
07/02/2008	<a href="#">9</a>	PRETRIAL ORDER; Pretrial Conference set for 10/29/2008 at 04:30 PM in Courtroom 18C, 500 Pearl Street, New York, NY 10007 before Judge Robert W. Sweet. (Signed by Judge Robert W. Sweet on 7/2/2008) (tve) (Entered: 07/02/2008)
07/24/2008	<a href="#">10</a>	ENDORSED LETTER addressed to Judge Robert W. Sweet from Mark D. Salzberg dated 7/21/08 re: The parties jointly request an extension of time for the SEC to respond to the motion to dismiss from the original date of August 15, 2008 to September 12, 2008. The parties jointly request that the Defendants have an extension of time to file any reply to the SEC's opposition from the original date of August 22, 2008 to October 3, 2008. ENDORSEMENT: So Ordered. (Signed by Judge Robert W. Sweet on 7/23/08) (js) (Entered: 07/25/2008)
08/01/2008	<a href="#">11</a>	MOTION to Dismiss. Document filed by Pentagon Capital Management PLC, Lewis Chester, Pentagon Special Purpose Fund, LTD.. Responses due by 9/12/2008 Return Date set for 11/19/2008 at 12:00 PM. (Attachments: # <a href="#">1</a> Text of Proposed Order)(Razzano, Frank) (Entered: 08/01/2008)

08/01/2008	<a href="#">12</a>	MEMORANDUM OF LAW in Support re: <a href="#">11</a> MOTION to Dismiss. <i>Plaintiff's Complaint</i> . Document filed by Pentagon Capital Management PLC, Lewis Chester, Pentagon Special Purpose Fund, LTD.. (Razzano, Frank) (Entered: 08/01/2008)
08/11/2008	<a href="#">13</a>	ENDORSED LETTER addressed to Judge Robert W. Sweet from Frank C. Razzano dated 8/1/2008 re: Requesting that the Court hold the pre-trial conference on November 19, 2008. ENDORSEMENT: So ordered. (Signed by Judge Robert W. Sweet on 8/6/2008) (jpo) (Entered: 08/11/2008)
08/19/2008	<a href="#">14</a>	ORDER: Defendant's motion filed 8/1/2008, will be taken on submission without oral argument on Wednesday, 8/27/2008. All motion papers shall be served in accordance with Local Civil Rule 6.1. It is so ordered. (Signed by Judge Robert W. Sweet on 8/13/2008) (tve) (Entered: 08/19/2008)
09/09/2008	<a href="#">15</a>	AMENDED COMPLAINT amending <a href="#">1</a> Complaint against Pentagon Capital Management PLC, Lewis Chester, Pentagon Special Purpose Fund, LTD..Document filed by Securities and Exchange Commisison. Related document: <a href="#">1</a> Complaint filed by Securities and Exchange Commisison.(dle) (Entered: 09/10/2008)
09/11/2008	<a href="#">16</a>	AFFIDAVIT OF SERVICE of Summons and Amended Complaint,. Pentagon Capital Management PLC served on 9/10/2008, answer due 9/30/2008; Lewis Chester served on 9/10/2008, answer due 9/30/2008; Pentagon Special Purpose Fund, LTD. served on 9/10/2008, answer due 9/30/2008. Service was accepted by Counsel for Defendants and Relief Defendant. Service was made by Electronic Mail. Document filed by Securities and Exchange Commisison. (Attachments: # <a href="#">1</a> Summonses issued to Defendants Pentagon Capital Management PLC and Lewis Chester and Relief Defendant Pentagon Special Purpose Fund, Ltd.)(Salzberg, Mark) (Entered: 09/11/2008)
09/12/2008	<a href="#">17</a>	ENDORSED LETTER addressed to Judge Robert W. Sweet from Frank Razzano and Paul Gizzi dated 9/10/08 re: Defendants will file a Motion to Dismiss the Amended Complaint on 10/8/08; plaintiff will file an opposition on 11/5/08; and defendants will file a reply on 11/19/08. ENDORSEMENT: So ordered. ( Motion due by 10/8/2008. Reply due by 11/19/2008. Response due by 11/5/2008) (Signed by Judge Robert W. Sweet on 9/12/08) (cd) (Entered: 09/15/2008)
09/18/2008	<a href="#">18</a>	MOTION for Matthew D. Foster to Appear Pro Hac Vice. Document filed by Pentagon Capital Management PLC, Lewis Chester, Pentagon Special Purpose Fund, LTD.(dle) (Entered: 09/19/2008)
09/19/2008	<a href="#">19</a>	NOTICE OF APPEARANCE by Christopher John Dunnigan on behalf of Securities and Exchange Commisison (Dunnigan, Christopher) (Entered: 09/19/2008)
09/25/2008	<a href="#">20</a>	ORDER granting <a href="#">18</a> Motion for Matthew D. Foster to Appear Pro Hac Vice. (Signed by Judge Robert W. Sweet on 9/24/08) (mme) (Entered: 09/25/2008)
09/25/2008		Transmission to Attorney Admissions Clerk. Transmitted re: <a href="#">20</a> Order on Motion to Appear Pro Hac Vice, to the Attorney Admissions Clerk for updating of Attorney Information. (mme) (Entered: 09/25/2008)

10/02/2008		CASHIERS OFFICE REMARK on <a href="#">20</a> Order on Motion to Appear Pro Hac Vice in the amount of \$25.00, paid on 09/18/2008, Receipt Number 663531. (jd) (Entered: 10/02/2008)
10/08/2008	<a href="#">21</a>	FILING ERROR - DUPLICATED DOCKET ENTRY (SEE <a href="#">23</a> MOTION) - MOTION to Dismiss <i>Amended Complaint</i> . Document filed by Pentagon Capital Management PLC, Lewis Chester, Pentagon Special Purpose Fund, LTD.. Responses due by 11/5/2008 Return Date set for 12/3/2008 at 12:00 PM.(Razzano, Frank) Modified on 10/9/2008 (db). (Entered: 10/08/2008)
10/08/2008	<a href="#">22</a>	FILING ERROR - DUPLICATED DOCKET ENTRY (SEE <a href="#">24</a> MEMORANDUM) - MEMORANDUM OF LAW in Support re: <a href="#">21</a> MOTION to Dismiss <i>Amended Complaint</i> . Document filed by Pentagon Capital Management PLC, Lewis Chester, Pentagon Special Purpose Fund, LTD. (Razzano, Frank) Modified on 10/9/2008 (db). (Entered: 10/08/2008)
10/08/2008	<a href="#">23</a>	MOTION to Dismiss <i>Amended Complaint</i> . Document filed by Pentagon Capital Management PLC, Lewis Chester, Pentagon Special Purpose Fund, LTD.. Responses due by 11/5/2008 Return Date set for 12/3/2008 at 12:00 PM. (Attachments: # <a href="#">1</a> Text of Proposed Order)(Razzano, Frank) (Entered: 10/08/2008)
10/08/2008	<a href="#">24</a>	MEMORANDUM OF LAW in Support re: <a href="#">23</a> MOTION to Dismiss <i>Amended Complaint</i> .. Document filed by Pentagon Capital Management PLC, Lewis Chester, Pentagon Special Purpose Fund, LTD.. (Razzano, Frank) (Entered: 10/08/2008)
10/10/2008	<a href="#">25</a>	ORDER that defendants' motion to dismiss the amended complaint, filed 10/8/08, will be heard at noon on Wednesday, 12/3/08. Set Deadlines/Hearing as to <a href="#">23</a> MOTION to Dismiss Amended Complaint. ( Motion Hearing set for 12/3/2008 at 12:00 PM in Courtroom 18C, 500 Pearl Street, New York, NY 10007 before Judge Robert W. Sweet.) (Signed by Judge Robert W. Sweet on 10/9/08) (cd) (Entered: 10/10/2008)
11/05/2008	<a href="#">26</a>	MEMORANDUM OF LAW in Opposition re: <a href="#">23</a> MOTION to Dismiss <i>Amended Complaint</i> .. Document filed by Securities and Exchange Commisison. (Salzberg, Mark) (Entered: 11/05/2008)
11/19/2008	<a href="#">27</a>	REPLY MEMORANDUM OF LAW in Support re: <a href="#">23</a> MOTION to Dismiss <i>Amended Complaint</i> .. Document filed by Pentagon Capital Management PLC, Lewis Chester, Pentagon Special Purpose Fund, LTD.. (Attachments: # <a href="#">1</a> Exhibit A, # <a href="#">2</a> Exhibit B)(Razzano, Frank) (Entered: 11/19/2008)
11/24/2008	<a href="#">28</a>	ORDER: Upon consideration of the Defendants' Lewis Chester, Pentagon Capital Management, PLC, and Pentagon Special Purpose Fund, Ltd., request for permission to file with the Clerk of the Court an audio recording referenced in footnote 29 of the Defendants' Reply in support of their Motion to Dismiss (Docket No. 27), and it appearing that the request should be granted, IT IS HEREBY ORDERED that the Clerk of the Court will accept for filing the audio recording referenced in the Defendants' Reply Brief. (Signed by Judge Robert W. Sweet on 11/20/08) (tro) (Entered: 11/24/2008)
11/26/2008	<a href="#">29</a>	RULE 26(f) DISCOVERY PLAN REPORT.Document filed by Securities



		and Exchange Commisison.(Gizzi, Paul) (Entered: 11/26/2008)
02/10/2009	<a href="#">30</a>	OPINION:# 97067 For the reasons set forth in this order, the motion to dismiss is denied. (Signed by Judge Robert W. Sweet on 2/9/09) (mme) Modified on 2/13/2009 (jab). (Entered: 02/10/2009)
02/13/2009	<a href="#">31</a>	PRETRIAL ORDER: Pretrial Conference set for 3/25/2009 at 04:30 PM in Courtroom 18C, 500 Pearl Street, New York, NY 10007 before Judge Robert W. Sweet.) (Signed by Judge Robert W. Sweet on 2/13/09) (js) (Entered: 02/13/2009)
02/25/2009	<a href="#">32</a>	ANSWER to Amended Complaint. Document filed by Pentagon Capital Management PLC, Lewis Chester, Pentagon Special Purpose Fund, LTD.. Related document: <a href="#">15</a> Amended Complaint, filed by Securities and Exchange Commisison.(Razzano, Frank) (Entered: 02/25/2009)
03/17/2009	<a href="#">33</a>	FILING ERROR - ELECTRONIC FILING FOR NON-ECF DOCUMENT - RULE 26(f) DISCOVERY PLAN REPORT([JOINT PROPOSED] DISCOVERY PLAN) .Document filed by Securities and Exchange Commisison.(Dunnigan, Christopher) Modified on 3/18/2009 (KA). (Entered: 03/17/2009)
03/18/2009		***NOTE TO ATTORNEY TO RE-FILE DOCUMENT - NON-ECF DOCUMENT ERROR. Note to Attorney Christopher John Dunnigan to E-MAIL pdf copy to judgments@nysd.uscourts.gov Document No. <a href="#">33</a> [JOINT PROPOSED] DISCOVERY PLAN ORDER. This document is not filed via ECF. (KA) (Entered: 03/18/2009)
03/24/2009	<a href="#">34</a>	DISCOVERY PLAN PURSUANT TO FED. R. CIV. P. 26(f): The Court hereby Orders: Fact discovery shall be completed by March 12, 2010. Expert reports shall be exchanged by April 9, 2010. Expert discovery shall be completed by May 14, 2010. The presumptive limit on the number of depositions provided under Fed. R. Civ. P. 30 shall be increased from 10 to 30 per party. Subject to the parties further agreement, depositions are tentatively scheduled to began May 1, 2009. Dispositive motions shall be submitted by July 2, 2010. Opposition papers shall be submitted by July 30, 2010. Reply papers shall be submitted by August 13, 2010. The parties shall submit a joint proposed pretrial order by September 17, 2010. A final pretrial conference shall be held no later than 15 days before trial. The trial of this action shall commence in November 2010, with an estimated length of 15 days. Motion in liminie, pretrial memoranda, and statements indicating the elements of each claim or defense and summaries of the facts relied upon to establish each element shall be filed no later than 15 days before the date of commencement of trial. (Signed by Judge Robert W. Sweet on 3/23/2009) (jfe) Modified on 4/20/2009 (jfe). (Entered: 03/24/2009)
10/02/2009	<a href="#">35</a>	FILING ERROR - DEFICIENT DOCKET ENTRY - MOTION in Limine to <i>Determine Admissibility of SEC Findings</i> . Document filed by Pentagon Capital Management PLC, Lewis Chester, Pentagon Special Purpose Fund, LTD.. (Attachments: # <a href="#">1</a> Memorandum of Law in Support of Motion In Limine to Determine Admissibility of SEC Findings, # <a href="#">2</a> Exhibit A - part 1 of 2, # <a href="#">3</a> Exhibit A - part 2 of 2, # <a href="#">4</a> Exhibit B - part 1 of 8, # <a href="#">5</a> Exhibit B - part 2

		of 8, # <a href="#">6</a> Exhibit B - part 3 of 8, # <a href="#">7</a> Exhibit B - part 4 of 8, # <a href="#">8</a> Exhibit B - part 5 of 8, # <a href="#">9</a> Exhibit B - part 6 of 8, # <a href="#">10</a> Exhibit B - part 7 of 8, # <a href="#">11</a> Exhibit B - part 8 of 8, # <a href="#">12</a> Exhibit C - part 1 of 1, # <a href="#">13</a> Text of Proposed Order Proposed Order)(Razzano, Frank) Modified on 10/6/2009 (jar). (Entered: 10/02/2009)
10/02/2009		***NOTE TO ATTORNEY TO RE-FILE DOCUMENT - DEFICIENT DOCKET ENTRY ERROR. Note to Attorney Frank Razzano to RE-FILE Document <a href="#">35</a> MOTION in Limine to Determine Admissibility of SEC Findings. ERROR(S): Supporting Documents must be filed individually. Use the event type Memorandum of Law in Support found under event list Replies, Oppositions, Supporting Documents. NOTE: The Motion must be correctly re-filed. (jar) (Entered: 10/06/2009)
10/06/2009	<a href="#">36</a>	MOTION in Limine to Determine Admissibility of SEC Findings. Document filed by Pentagon Capital Management PLC, Lewis Chester, Pentagon Special Purpose Fund, LTD.. (Attachments: # <a href="#">1</a> Text of Proposed Order) (Razzano, Frank) (Entered: 10/06/2009)
10/06/2009	<a href="#">37</a>	MEMORANDUM OF LAW in Support re: <a href="#">36</a> MOTION in Limine to Determine Admissibility of SEC Findings.. Document filed by Pentagon Capital Management PLC, Lewis Chester, Pentagon Special Purpose Fund, LTD.. (Attachments: # <a href="#">1</a> Exhibit A - part 1 of 2, # <a href="#">2</a> Exhibit A - part 2 of 2, # <a href="#">3</a> Exhibit B - part 1 of 8, # <a href="#">4</a> Exhibit B - part 2 of 8, # <a href="#">5</a> Exhibit B - part 3 of 8, # <a href="#">6</a> Exhibit B - part 4 of 8, # <a href="#">7</a> Exhibit B - part 5 of 8, # <a href="#">8</a> Exhibit B - part 6 of 8, # <a href="#">9</a> Exhibit B - part 7 of 8, # <a href="#">10</a> Exhibit B - part 8 of 8, # <a href="#">11</a> Exhibit C - part 1 of 1)(Razzano, Frank) (Entered: 10/06/2009)
10/14/2009	<a href="#">38</a>	ORDER, Set Deadlines/Hearing as to <a href="#">36</a> MOTION in Limine to Determine Admissibility of SEC Findings. ( Motion Hearing set for 11/4/2009 at 12:00 PM in Courtroom 18C, 500 Pearl Street, New York, NY 10007 before Judge Robert W. Sweet.) All motion papers shall be served in accordance with Local Civil Rule 6.1. (Signed by Judge Robert W. Sweet on 10/13/09) (cd) (Entered: 10/14/2009)
10/22/2009	<a href="#">39</a>	ENDORSED LETTER: addressed to Judge Robert W. Sweet from Paul G. Gizzi dated 10/21/09 re: The commission requests a two day extension to file its opposition to the motion until this Friday, October 23, 2009. Defendants and Relief Defendant's reply brief would be due on Friday October 30, 2009, and the parties would still be prepared to argue the motion as currently scheduled on November 4, 2009. ENDORSEMENT: So Ordered. Replies due by 10/30/2009. Responses due by 10/23/2009) (Signed by Judge Robert W. Sweet on 10/21/09) (js) (Entered: 10/22/2009)
10/23/2009	<a href="#">40</a>	MEMORANDUM OF LAW in Opposition re: <a href="#">36</a> MOTION in Limine to Determine Admissibility of SEC Findings.. Document filed by Securities and Exchange Commisison. (Gizzi, Paul) (Entered: 10/23/2009)
10/30/2009	<a href="#">41</a>	REPLY MEMORANDUM OF LAW in Support re: <a href="#">36</a> MOTION in Limine to Determine Admissibility of SEC Findings.. Document filed by Pentagon Capital Management PLC, Lewis Chester, Pentagon Special Purpose Fund, LTD.. (Razzano, Frank) (Entered: 10/30/2009)



02/18/2010	<a href="#">42</a>	MOTION in Limine <i>to Determine the Admissibility of Congressional Testimony of the Former Director of the Division of Enforcement of the US SEC.</i> Document filed by Pentagon Capital Management PLC, Lewis Chester, Pentagon Special Purpose Fund, LTD.. Return Date set for 3/17/2010 at 12:00 PM. (Attachments: # <a href="#">1</a> Text of Proposed Order)(Razzano, Frank) (Entered: 02/18/2010)
02/18/2010	<a href="#">43</a>	MEMORANDUM OF LAW in Support re: <a href="#">42</a> MOTION in Limine <i>to Determine the Admissibility of Congressional Testimony of the Former Director of the Division of Enforcement of the US SEC.</i> Document filed by Pentagon Capital Management PLC, Lewis Chester, Pentagon Special Purpose Fund, LTD.. (Attachments: # <a href="#">1</a> Exhibit A, # <a href="#">2</a> Exhibit B, # <a href="#">3</a> Exhibit C, # <a href="#">4</a> Exhibit D, # <a href="#">5</a> Exhibit E, # <a href="#">6</a> Exhibit F)(Razzano, Frank) (Entered: 02/18/2010)
03/02/2010	<a href="#">44</a>	ORDER: Defendants' motion in limine will be heard at noon on Wednesday, March 24, 2010, in Courtroom 18C. All motion papers shall be served in accordance with Local Civil Rule 6.1. It is so ordered. (Signed by Judge Robert W. Sweet on 2/24/2010) (tve) (Entered: 03/02/2010)
03/05/2010	<a href="#">45</a>	APPLICATION FOR LETTERS ROGATORY by Securities and Exchange Commisison. (Dunnigan, Christopher) (Entered: 03/05/2010)
03/05/2010	<a href="#">46</a>	FILING ERROR - WRONG EVENT TYPE SELECTED FROM MENU (Memorandum of Law (non-motion) - FIRST MOTION for Issuance of Letters Rogatory <i>Memorandum of Law in Support of SEC's Application for United Kingdom Request for Judicial Assistance.</i> Document filed by Securities and Exchange Commisison.(Dunnigan, Christopher) Modified on 3/8/2010 (jar). (Entered: 03/05/2010)
03/05/2010	<a href="#">47</a>	APPLICATION FOR LETTERS ROGATORY by Securities and Exchange Commisison. (Attachments: # <a href="#">1</a> Exhibit A-F to Request for Judicial Assistance from United Kingdom)(Dunnigan, Christopher) (Entered: 03/05/2010)
03/05/2010		***NOTE TO ATTORNEY TO RE-FILE DOCUMENT - EVENT TYPE ERROR. Note to Attorney Christopher Dunnigan to RE-FILE Document <a href="#">46</a> FIRST MOTION for Issuance of Letters Rogatory <i>Memorandum of Law in Support of SEC's Application for United Kingdom Request for Judicial Assistance.</i> Use the event type Memorandum of Law in Support (non-motion) found under the event list Other Answers. Link Memorandum to Application for Letters Rogatory. (jar) (Entered: 03/08/2010)
03/08/2010	<a href="#">48</a>	FIRST MEMORANDUM OF LAW in Support re: <a href="#">45</a> Application for Letters Rogatory <i>Memorandum of Law in Support of SEC's Application for United Kingdom Judicial Assistance.</i> Document filed by Securities and Exchange Commisison. (Dunnigan, Christopher) (Entered: 03/08/2010)
03/08/2010	<a href="#">49</a>	MEMORANDUM OF LAW in Opposition re: <a href="#">42</a> MOTION in Limine <i>to Determine the Admissibility of Congressional Testimony of the Former Director of the Division of Enforcement of the US SEC.</i> Document filed by Securities and Exchange Commisison. (Gizzi, Paul) (Entered: 03/08/2010)

03/08/2010	<a href="#">50</a>	REVISED DISCOVERY PLAN PURSUANT TO FED. R. CIV. P. 26(f): Fact discovery shall be completed by June 12, 2010. Plaintiffs expert report shall be due by June 2, 2010. Defendant's expert report shall be due by June 16, 2010. Expert discovery shall be completed by July 9, 2010. The presumptive limit on the number of depositions provided under Fed. R. Civ. P. 30 shall be increased from ten (10) to thirty (30) per party. Dispositive motions shall be submitted by August 6, 2010. Opposition papers shall be submitted by August 27, 2010. Reply paper: shall be submitted by September 3, 2010. The parties shall submit a joint proposed pretrial order by October 15, 2010. A final pretrial conference shall be held no later than fifteen (15) days before trial. The trial of this action shall commence in November 2010, with an estimated length of fifteen (15) days. Motions in limine, pretrial memoranda, and statements indicating the elements of each claim or defense and summaries of the facts relied upon to establish each element shall be filed no later than fifteen (15) days before the date of commencement of trial. (Signed by Judge Robert W. Sweet on 3/3/2010) (jfe) (Entered: 03/08/2010)
03/10/2010	<a href="#">51</a>	ENDORSED LETTER addressed to Judge Robert W. Sweet from Paul G. Gizzi dated 3/3/10 re: counsel for plaintiff S.E.C requests an extension to file its response to the motion in limine until 3/15/10; defendant's reply brief would be due on 3/22/10. ENDORSEMENT: It is so ordered. (Signed by Judge Robert W. Sweet on 3/4/10) (dle) (Entered: 03/11/2010)
03/12/2010	<a href="#">52</a>	MOTION for John C. Lehmann, Jr. to Appear Pro Hac Vice. Document filed by Securities and Exchange Commisison.(mro) (Entered: 03/16/2010)
03/17/2010	<a href="#">53</a>	OPINION: #98680 Each of the documents at issue in this motion is an Order of the SEC making findings based on facts discovered pursuant to its investigative authority. Such findings are presumed reliable and admissible under Rule 803(8) (C). Because the documents are not being offered to establish liability, Rule 408 is not implicated. The proffered documents are admissible pursuant to Rule 803 (8) (C). Any rulings with respect to relevance or other issues of admissibility will be determined at an appropriate time in the proceedings which follow. (Signed by Judge Robert W. Sweet on 3/11/2010) (jpo) Modified on 3/19/2010 (ajc). (Entered: 03/17/2010)
03/17/2010	<a href="#">54</a>	ORDER FOR ADMISSION PRO HAC VICE ON WRITTEN MOTION: John C. Lehmann Jr. is admitted to practice pro hac vice as counsel for SEC in this case in the USDC for the SDNY. (Signed by Judge Robert W. Sweet on 3/16/10) (dle) (Entered: 03/18/2010)
03/22/2010	<a href="#">55</a>	REPLY MEMORANDUM OF LAW in Support re: <a href="#">42</a> MOTION in Limine <i>to Determine the Admissibility of Congressional Testimony of the Former Director of the Division of Enforcement of the US SEC.</i> .. Document filed by Pentagon Capital Management PLC, Lewis Chester, Pentagon Special Purpose Fund, LTD.. (Razzano, Frank) (Entered: 03/22/2010)
03/31/2010	<a href="#">56</a>	ORDER Set Deadlines/Hearing as to plaintiff's application for the issuance of a letter request for international judicial assistance. ( Motion Hearing set for 4/7/2010 at 12:00 PM in Courtroom 18C, 500 Pearl Street, New York, NY 10007 before Judge Robert W. Sweet.) (Signed by Judge Robert W. Sweet on 3/30/10) (cd) (Entered: 03/31/2010)

04/05/2010	<a href="#">57</a>	REQUEST TO COMPEL EVIDENCE FROM UNITED KINGDOM WITNESS PURSUANT TO THE 1970 HAGUE CONVENTION: The District Court requests that the Senior Master appoint a practicing Barrister or such other qualified person as the Court deems fit, to act as Examiner for the purpose of obtaining oral testimony for trial from non-party witnesses Andrew Chaplin, Lee Mason, David Perry, Justin Holm, Emma Swords, and Frank Bristow. (Signed by Judge Robert W. Sweet on 4/2/2010) (jpo) (Entered: 04/05/2010)
05/21/2010	<a href="#">58</a>	SECOND REVISED DISCOVERY PLAN PURSUANT TO FED.R.CIV.P. 26(f): Fact discovery shall be completed by 9/24/2010. Expert discovery shall be completed by 11/26/2010. Dispositive motions, if any, shall be submitted by 12/1/2010. Opposition papers shall be submitted by 12/10/2010. Reply papers shall be submitted by 12/14/2010. The parties shall submit a joint proposed pretrial order by 1/5/2011. The trial in this action shall commence in 1/2011, with an estimated length of 15 days. (Signed by Judge Robert W. Sweet on 5/19/2010) (tve) (Entered: 05/21/2010)
06/01/2010	<a href="#">59</a>	APPLICATION FOR LETTERS ROGATORY by Securities and Exchange Commisison. (Dunnigan, Christopher) (Entered: 06/01/2010)
06/01/2010	<a href="#">60</a>	APPLICATION FOR LETTERS ROGATORY by Securities and Exchange Commisison. (Dunnigan, Christopher) (Entered: 06/01/2010)
06/01/2010	<a href="#">61</a>	APPLICATION FOR LETTERS ROGATORY by Securities and Exchange Commisison. (Attachments: # <a href="#">1</a> Exhibit A)(Dunnigan, Christopher) (Entered: 06/01/2010)
06/09/2010	<a href="#">62</a>	REQUEST TO COMPEL EVIDENCE FROM AUSTRALIA WITNESS PURSUANT TO THE 1970 HAGUE CONVENTION: The District Court respectfully requests, with respect to the oral testimony being sought: (1) that the Supreme Court appoint a Private Examiner for the purpose of compelling oral testimony from the witness for use at trial; (2) that Plaintiff's Australian counsel, Peter Holloway, Esq., a solicitor with the Melbourne firm of Freehills, arrange for the nomination of a solicitor to act as Private Examiner in this regard. This Request is made pursuant to, and in conformity with, Chapter I of the Hague Evidence Convention of 18 March 1970; Part 1 Division 1C, sections 111A and 151 Evidence Act 1958; and Order 81 Supreme Court (General Civil Procedure) Rules 1996. (3) that the parties' representatives or their designees, a US court reporter and a videographer be permitted to be present during the witness examination; that the representatives or designees be permitted to examine and cross-examine the witness directly; and that a court reporter and videographer be permitted to make a verbatim record of the proceedings. (Signed by Judge Robert W. Sweet on 6/7/2010) (jpo) (Entered: 06/09/2010)
07/01/2010	<a href="#">63</a>	OPINION: #99149 Defendants' motion in limine is granted as to the admissibility of the Cutler testimony, subject to a further ruling on relevance at an appropriate time in the proceedings. (Signed by Judge Robert W. Sweet on 6/30/2010) (tro) Modified on 7/6/2010 (ajc). (Entered: 07/02/2010)
07/21/2010	<a href="#">64</a>	APPLICATION FOR LETTERS ROGATORY by Securities and Exchange

		Commisison. (Dunnigan, Christopher) (Entered: 07/21/2010)
07/21/2010	<a href="#">65</a>	FILING ERROR - WRONG DOCUMENT TYPE SELECTED FROM MENU - APPLICATION FOR LETTERS ROGATORY by Securities and Exchange Commisison(MEMORANDUM OF LAW IN SUPPORT OF LETTERS ROGATORY). (Dunnigan, Christopher) Modified on 7/22/2010 (KA). (Entered: 07/21/2010)
07/21/2010	<a href="#">66</a>	FILING ERROR - WRONG DOCUMENT TYPE SELECTED FROM MENU- APPLICATION FOR LETTERS ROGATORY by Securities and Exchange Commisison. (Attachments: # <a href="#">1</a> Exhibit A, # <a href="#">2</a> Exhibit B) (Dunnigan, Christopher) Modified on 7/22/2010 (KA). (Entered: 07/21/2010)
07/22/2010		***NOTE TO ATTORNEY TO RE-FILE DOCUMENT - EVENT TYPE ERROR. Note to Attorney Christopher John Dunnigan to RE-FILE Document <a href="#">65</a> Application for Letters Rogatory. Use the event type Memorandum of Law in Support(non-motion) found under the event list Other Answers. (KA) (Entered: 07/22/2010)
07/22/2010		***NOTE TO ATTORNEY TO RE-FILE DOCUMENT - EVENT TYPE ERROR. Note to Attorney Christopher John Dunnigan to RE-FILE Document <a href="#">66</a> Application for Letters Rogatory. Use the event type Letters Rogatory found under the event list Motions. (KA) (Entered: 07/22/2010)
07/22/2010	<a href="#">67</a>	MEMORANDUM OF LAW in Support of <i>Application for Letters Rogatory</i> . Document filed by Securities and Exchange Commisison. (Dunnigan, Christopher) (Entered: 07/22/2010)
07/22/2010	<a href="#">68</a>	FILING ERROR - ELECTRONIC FILING FOR NON-ECF DOCUMENT - MOTION for Issuance of Letters Rogatory <i>Letter Rogatory</i> . Document filed by Securities and Exchange Commisison. (Attachments: # <a href="#">1</a> Exhibit A, # <a href="#">2</a> Exhibit B)(Dunnigan, Christopher) Modified on 7/23/2010 (db). (Entered: 07/22/2010)
07/22/2010		***NOTE TO ATTORNEY TO RE-FILE DOCUMENT - NON-ECF DOCUMENT ERROR. Note to Attorney Christopher John Dunnigan to E-MAIL Document No. <a href="#">68</a> Order to judgments@nysd.uscourts.gov. This document is not filed via ECF. (db) (Entered: 07/23/2010)
08/18/2010		LETTERS ROGATORY ISSUED as to Securities and Exchange Commission in Republic of Ireland. (dt) (Entered: 08/18/2010)
08/18/2010	<a href="#">69</a>	STIPULATED ORDER that Paul G. Gizzi, Senior Trial Counsel for the SEC and John Lehmann, Senior Counsel for the SEC, shall administer the oath for the depositions of Anthony Profit and Quang Tran in Nice, France on 9/7 and 8./10. (Signed by Judge Robert W. Sweet on 8/17/10) (cd) (Entered: 08/19/2010)
08/27/2010	<a href="#">70</a>	FILING ERROR - WRONG EVENT TYPE SELECTED FROM MENU - MOTION to Compel <i>SEC to Respond to Defendants' Request for Production and Answer Interrogatories</i> . Document filed by Lewis Chester, Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD. (Razzano, Frank) Modified on 8/30/2010 (db). (Entered: 08/27/2010)

08/27/2010	<a href="#">71</a>	NOTICE of Motion to Compel re: <a href="#">70</a> MOTION to Compel <i>SEC to Respond to Defendants' Request for Production and Answer Interrogatories..</i> Document filed by Lewis Chester, Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD.. (Attachments: # <a href="#">1</a> Text of Proposed Order)(Razzano, Frank) (Entered: 08/27/2010)
08/27/2010		***NOTE TO ATTORNEY TO RE-FILE DOCUMENT - EVENT TYPE ERROR. Note to Attorney Frank Charles Razzano to RE-FILE Document <a href="#">70</a> MOTION to Compel <i>SEC to Respond to Defendants' Request for Production and Answer Interrogatories.</i> Use the event type Memorandum in Support of Motion found under the event list Replies, Opposition and Supporting Documents. ***REMINDER*** - First re-file the <a href="#">71</a> Notice AS THE MOTION TO COMPEL, then file and link any supporting documents. (db) (Entered: 08/30/2010)
08/30/2010	<a href="#">72</a>	NOTICE of Motion to Compel. Document filed by Lewis Chester, Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD.. (Attachments: # <a href="#">1</a> Text of Proposed Order)(Razzano, Frank) (Entered: 08/30/2010)
08/30/2010	<a href="#">73</a>	MEMORANDUM OF LAW in Support re: <a href="#">70</a> MOTION to Compel <i>SEC to Respond to Defendants' Request for Production and Answer Interrogatories..</i> Document filed by Lewis Chester, Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD.. (Razzano, Frank) (Entered: 08/30/2010)
09/13/2010	<a href="#">74</a>	ENDORSED LETTER addressed to Judge Robert W. Sweet from Paul G. Gizzi dated 9/3/2010 re: Requesting an extension of time to file an opposition until September 16, 2010. ENDORSEMENT: So Ordered. (Signed by Judge Robert W. Sweet on 9/10/2010) (jpo) (Entered: 09/13/2010)
09/16/2010	<a href="#">75</a>	MEMORANDUM OF LAW in Opposition re: <a href="#">70</a> MOTION to Compel <i>SEC to Respond to Defendants' Request for Production and Answer Interrogatories..</i> Document filed by Securities and Exchange Commisison. (Attachments: # <a href="#">1</a> Appendix, # <a href="#">2</a> Appendix, # <a href="#">3</a> Appendix, # <a href="#">4</a> Appendix, # <a href="#">5</a> Appendix)(Gizzi, Paul) (Entered: 09/16/2010)
09/21/2010	<a href="#">76</a>	ORDER. Defendants' motion to compel, dated August 27, 2010, will be heard at noon on Wednesday, September 29, 2010, in Courtroom 18C. All motion papers shall be served in accordance with Local Civil Rule 6.1. Set Deadlines/Hearing as to (Motion Hearing set for 9/29/2010 at 12:00 PM in Courtroom 18C, 500 Pearl Street, New York, NY 10007 before Judge Robert W. Sweet.) (Signed by Judge Robert W. Sweet on 9/20/10) (rjm) (Entered: 09/21/2010)
09/23/2010	<a href="#">77</a>	REPLY MEMORANDUM OF LAW in Support re: <a href="#">70</a> MOTION to Compel <i>SEC to Respond to Defendants' Request for Production and Answer Interrogatories..</i> Document filed by Lewis Chester, Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD.. (Razzano, Frank) (Entered: 09/23/2010)
10/07/2010	<a href="#">78</a>	PRETRIAL ORDER. Counsel are directed to appear in courtroom 18C on November 3, 2010 at 4:30 pm for a pretrial conference for the purpose of



		resolving any outstanding discovery or other issues, and setting a time for trial. Plaintiff(s)' counsel ARE REQUIRED TO NOTIFY COUNSEL FOR ALL PARTIES OF THIS CONFERENCE. (Signed by Judge Robert W. Sweet on 10/7/10) (djc) Modified on 10/7/2010 (djc). (Entered: 10/07/2010)
10/07/2010		Set Deadlines/Hearings: Pretrial Conference set for 11/3/2010 at 04:30 PM in Courtroom 18C, 500 Pearl Street, New York, NY 10007 before Judge Robert W. Sweet. (djc) (Entered: 10/07/2010)
10/08/2010	<a href="#">79</a>	OPINION #99560 that Defendants' motion to compel is denied as to the list of mutual funds that allowed capacity agreements and granted as to the exhibits to the investigative testimonies already produced by the SEC. (Signed by Judge Robert W. Sweet on 10/7/10) (cd) Modified on 10/13/2010 (ajc). (Entered: 10/08/2010)
11/03/2010		Minute Entry for proceedings held before Judge Robert W. Sweet: Pretrial Conference held on 11/3/2010. Trial set for 3/23/2011 at 09:30 AM before Judge Robert W. Sweet. (mro) (Entered: 11/05/2010)
11/12/2010	<a href="#">80</a>	ENDORSED LETTER addressed to Judge Robert W. Sweet from Christopher J. Dunnigan dated 11/12/10 re: Expert discovery is to be completed by December 31, 2010. Fact discovery, including the depositions that the Court permitted the plaintiff SEC to take, is to be completed by February 15, 2011 (by January 31, 2011 if the plaintiff SEC files a motion for summary judgment). A trial date is set for March 23, 2011. ENDORSEMENT: So Ordered. (Deposition due by 2/15/2011. Discovery due by 2/15/2011.) (Signed by Judge Robert W. Sweet on 11/12/10) (db) (Entered: 11/12/2010)
11/12/2010	<a href="#">81</a>	OPINION: #99650 Defendants' motion to compel Brady and Giglio materials is denied. It is so ordered. (Signed by Judge Robert W. Sweet on 11/12/10) (db) Modified on 11/16/2010 (ajc). Modified on 11/23/2010 (db). (Entered: 11/12/2010)
11/23/2010	<a href="#">82</a>	APPLICATION FOR LETTERS ROGATORY by Securities and Exchange Commisison. (Dunnigan, Christopher) (Entered: 11/23/2010)
11/23/2010	<a href="#">83</a>	MEMORANDUM OF LAW in Support re: <a href="#">82</a> Application for Letters Rogatory. Document filed by Securities and Exchange Commisison. (Dunnigan, Christopher) (Entered: 11/23/2010)
11/30/2010	<a href="#">84</a>	ORDER. The SEC's Application for Letters Rogatory, dated November 23, 2010, will be treated as a motion and will be heard at noon on Wednesday December 1, 2010, in Courtroom 18C. (Signed by Judge Robert W. Sweet on 11/29/10); (djc) (Entered: 11/30/2010)
11/30/2010	<a href="#">85</a>	FILING ERROR - ELECTRONIC FILING FOR NON-ECF DOCUMENT - MOTION for Issuance of Letters Rogatory (Request Pursuant to the Hague Convention). Document filed by Securities and Exchange Commisison. Return Date set for 12/1/2010 at 12:00 PM. (Attachments: # <a href="#">1</a> Exhibit A, # <a href="#">2</a> Exhibit B, # <a href="#">3</a> Exhibit C)(Dunnigan, Christopher) Modified on 12/1/2010 (ka). (Entered: 11/30/2010)



12/01/2010		***NOTE TO ATTORNEY THAT THE ATTEMPTED FILING OF Document No. <a href="#">85</a> HAS BEEN REJECTED. Note to Attorney Christopher John Dunnigan : THE CLERK'S OFFICE DOES NOT ACCEPT LETTERS FOR FILING, either through ECF or otherwise, except where the judge has ordered that a particular letter be docketed. Letters may be sent directly to a judge. (ka) (Entered: 12/01/2010)
12/02/2010	<a href="#">86</a>	MOTION for Issuance of Letters Rogatory <i>Request for Assistance Pursuant to the Hague Convention</i> . Document filed by Securities and Exchange Commisison. (Attachments: # <a href="#">1</a> Exhibit Exhibit A, # <a href="#">2</a> Exhibit Exhibit B, # <a href="#">3</a> Exhibit Exhibit C)(Dunnigan, Christopher) (Entered: 12/02/2010)
12/03/2010	<a href="#">87</a>	REQUEST TO COMPEL EVIDENCE FROM UNITED KINGDOM WITNESSES PURSUANT TO THE 1970 HAGUE CONVENTION: The United States District Court for the Southern District of New York presents its compliments to the Senior Master of the Queen's Bench Division of the District Court of England and Wales, and requests assistance in obtaining evidence to be used in a civil proceeding before this Court in the above-captioned matter. The District Court requests that the Senior Master appoint a practicing Barrister or such other qualified person as the Court deems fit, to act as Examiner for the purpose of obtaining oral testimony for trail from non-party witnesses as set forth. (Signed by Judge Robert W. Sweet on 12/3/2010) (lnl) (Entered: 12/03/2010)
01/13/2011	<a href="#">88</a>	STIPULATED ORDER: Plaintiff Securities and Exchange Commission and Defendants Pentagon Capital Management PLC, Lewis Chester, and Pentagon Special Purpose Fund, Ltd., by counsel, and stipulate pursuant to FRCP 28(b)(1)(D) and 30(b)(5)(A) that Commission staff members Paul G. Gizzi, Senior Trial Counsel, and John Lehmann, Senior Counsel, shall administer the oath for the depositions of Vipool Shah, Harry Ogata, and John Rosenheim in London, England on January 10-12, 2011. This stipulation is granted. (Signed by Judge Robert W. Sweet on 1/10/11) (db) (Entered: 01/13/2011)
03/09/2011	<a href="#">89</a>	ENDORSED LETTER addressed to Judge Robert W. Sweet from SEC dated 2/28/11 re: The Commission staff respectfully requests that the Court grant leave to file a motion for partial summary judgment. ENDORSEMENT: No leave to file a summary judgment is required. (Signed by Judge Robert W. Sweet on 3/7/11) (djc) Modified on 3/9/2011 (djc). Modified on 3/10/2011 (djc). (Main Document 89 replaced on 3/16/2011) (tro). (Entered: 03/09/2011)
03/09/2011	<a href="#">90</a>	ENDORSED LETTER addressed to Judge Robert W. Sweet from Frank C. Razzano dated 2/28/11 re: I would appreciate if you could confirm that the trial date will begin on April 4, 2011 for a bench trial before Your Honor for up to three weeks. ENDORSEMENT: In order to permit counsel for the SEC to meet his previously scheduled commitment the trial commence on April 12. (Signed by Judge Robert W. Sweet on 3/7/11) (djc) (Entered: 03/09/2011)
03/14/2011	<a href="#">91</a>	ORDER: The November 12, 2010 scheduling order in this case is hereby amended to permit the SEC to file a motion for summary judgment, provided that it be filed by Wednesday, March 16, 2011. The motion for summary

		judgment will be heard at noon on Wednesday, April 6, 2011 in Courtroom 18C. ( Motions due by 3/16/2011. Set Deadlines/Hearing: Motion Hearing set for 4/6/2011 at 12:00 PM in Courtroom 18C, 500 Pearl Street, New York, NY 10007 before Judge Robert W. Sweet.) (Signed by Judge Robert W. Sweet on 3/10/2011) (mro) (Entered: 03/14/2011)
03/16/2011	<a href="#">92</a>	FIRST MOTION for Partial Summary Judgment <i>Notice of Motion for Partial Summary Judgment</i> . Document filed by Securities and Exchange Commisison. Responses due by 3/30/2011 Return Date set for 4/6/2011 at 12:00 PM.(Dunnigan, Christopher) (Entered: 03/16/2011)
03/16/2011	<a href="#">93</a>	FILING ERROR - WRONG EVENT TYPE SELECTED FROM MENU - FIRST MOTION for Partial Summary Judgment <i>Declaration of Christopher J. Dunnigan In Support of Plaintiff Securities and Exchange Commission's Motion for Partial Summary Judgment (Vol. I of V)</i> . Document filed by Securities and Exchange Commisison. Responses due by 3/30/2011 Return Date set for 4/6/2011 at 12:00 PM. (Attachments: # <a href="#">1</a> Exhibit 1, # <a href="#">2</a> Exhibit 2, # <a href="#">3</a> Exhibit 2.A.Appendix, # <a href="#">4</a> Exhibit 3, # <a href="#">5</a> Exhibit 4, # <a href="#">6</a> Exhibit 5, # <a href="#">7</a> Exhibit 6, # <a href="#">8</a> Exhibit 7, # <a href="#">9</a> Exhibit 8, # <a href="#">10</a> Exhibit 9, # <a href="#">11</a> Exhibit 10, # <a href="#">12</a> Exhibit 11, # <a href="#">13</a> Exhibit 12, # <a href="#">14</a> Exhibit 13, # <a href="#">15</a> Exhibit 14, # <a href="#">16</a> Exhibit 15, # <a href="#">17</a> Exhibit 16, # <a href="#">18</a> Exhibit 17, # <a href="#">19</a> Exhibit 18, # <a href="#">20</a> Exhibit 19, # <a href="#">21</a> Exhibit 20, # <a href="#">22</a> Exhibit 21, # <a href="#">23</a> Exhibit 22, # <a href="#">24</a> Exhibit 23, # <a href="#">25</a> Exhibit 24, # <a href="#">26</a> Exhibit 25, # <a href="#">27</a> Exhibit 26, # <a href="#">28</a> Exhibit 27, # <a href="#">29</a> Exhibit 28, # <a href="#">30</a> Exhibit 28.A, # <a href="#">31</a> Exhibit 28.B, # <a href="#">32</a> Exhibit 29, # <a href="#">33</a> Exhibit 30, # <a href="#">34</a> Exhibit 31, # <a href="#">35</a> Exhibit 32, # <a href="#">36</a> Exhibit 33, # <a href="#">37</a> Exhibit 34, # <a href="#">38</a> Exhibit 35) (Dunnigan, Christopher) Modified on 3/17/2011 (db). (Entered: 03/16/2011)
03/16/2011	<a href="#">94</a>	FILING ERROR - WRONG EVENT TYPE SELECTED FROM MENU - FIRST MOTION for Partial Summary Judgment <i>Declaration of Christopher J. Dunnigan In Support of Plaintiff Securities and Exchange Commission's Motion for Partial Summary Judgment (Vol. II of V)</i> . Document filed by Securities and Exchange Commisison. Responses due by 3/30/2011 Return Date set for 4/6/2011 at 12:00 PM. (Attachments: # <a href="#">1</a> Exhibit 36, # <a href="#">2</a> Exhibit 37, # <a href="#">3</a> Exhibit 38, # <a href="#">4</a> Exhibit 39, # <a href="#">5</a> Exhibit 40, # <a href="#">6</a> Exhibit 41, # <a href="#">7</a> Exhibit 42, # <a href="#">8</a> Exhibit 43, # <a href="#">9</a> Exhibit 44, # <a href="#">10</a> Exhibit 45, # <a href="#">11</a> Exhibit 46, # <a href="#">12</a> Exhibit 47, # <a href="#">13</a> Exhibit 48, # <a href="#">14</a> Exhibit 49, # <a href="#">15</a> Exhibit 50, # <a href="#">16</a> Exhibit 51) (Dunnigan, Christopher) Modified on 3/17/2011 (db). (Entered: 03/16/2011)
03/16/2011	<a href="#">95</a>	FILING ERROR - WRONG EVENT TYPE SELECTED FROM MENU - FIRST MOTION for Partial Summary Judgment <i>Declaration of Christopher J. Dunnigan In Support of Plaintiff Securities and Exchange Commission's Motion for Partial Summary Judgment (Vol. III of V)</i> . Document filed by Securities and Exchange Commisison. Responses due by 3/30/2011 Return Date set for 4/6/2011 at 12:00 PM. (Attachments: # <a href="#">1</a> Exhibit 52, # <a href="#">2</a> Exhibit 53, # <a href="#">3</a> Exhibit 54, # <a href="#">4</a> Exhibit 54.A, # <a href="#">5</a> Exhibit 54.B, # <a href="#">6</a> Exhibit 54.C, # <a href="#">7</a> Exhibit 55, # <a href="#">8</a> Exhibit 56, # <a href="#">9</a> Exhibit 56.A, # <a href="#">10</a> Exhibit 57, # <a href="#">11</a> Exhibit 58, # <a href="#">12</a> Exhibit 59, # <a href="#">13</a> Exhibit 60, # <a href="#">14</a> Exhibit 61, # <a href="#">15</a> Exhibit 62, # <a href="#">16</a> Exhibit 63, # <a href="#">17</a> Exhibit 64, # <a href="#">18</a> Exhibit 65, # <a href="#">19</a> Exhibit 66, # <a href="#">20</a> Exhibit 67, # <a href="#">21</a> Exhibit 68, # <a href="#">22</a> Exhibit 69, # <a href="#">23</a> Exhibit 70, # <a href="#">24</a> Exhibit 71, # <a href="#">25</a> Exhibit 72, # <a href="#">26</a> Exhibit 73, # <a href="#">27</a> Exhibit 74, # <a href="#">28</a> Exhibit 75, # <a href="#">29</a> Exhibit 76, # <a href="#">30</a> Exhibit 77, # <a href="#">31</a> Exhibit 78, # <a href="#">32</a> Exhibit 79, # <a href="#">33</a> Exhibit 80, # <a href="#">34</a>

		Exhibit 81, # <a href="#">35</a> Exhibit 82)(Dunnigan, Christopher) Modified on 3/17/2011 (db). (Entered: 03/16/2011)
03/16/2011	<a href="#">96</a>	FILING ERROR - WRONG EVENT TYPE SELECTED FROM MENU - FIRST MOTION for Partial Summary Judgment <i>Declaration of Christopher J. Dunnigan In Support of Plaintiff Securities and Exchange Commission's Motion for Partial Summary Judgment (Vol. IV of V)</i> . Document filed by Securities and Exchange Commisison. Responses due by 3/30/2011 Return Date set for 4/6/2011 at 12:00 PM. (Attachments: # <a href="#">1</a> Exhibit 83, # <a href="#">2</a> Exhibit 84, # <a href="#">3</a> Exhibit 85, # <a href="#">4</a> Exhibit 86, # <a href="#">5</a> Exhibit 87, # <a href="#">6</a> Exhibit 88, # <a href="#">7</a> Exhibit 89, # <a href="#">8</a> Exhibit 90, # <a href="#">9</a> Exhibit 91, # <a href="#">10</a> Exhibit 92, # <a href="#">11</a> Exhibit 93, # <a href="#">12</a> Exhibit 94, # <a href="#">13</a> Exhibit 95, # <a href="#">14</a> Exhibit 96, # <a href="#">15</a> Exhibit 97, # <a href="#">16</a> Errata 98, # <a href="#">17</a> Exhibit 99, # <a href="#">18</a> Exhibit 100, # <a href="#">19</a> Exhibit 101, # <a href="#">20</a> Exhibit 102, # <a href="#">21</a> Exhibit 103, # <a href="#">22</a> Exhibit 104, # <a href="#">23</a> Exhibit 105, # <a href="#">24</a> Exhibit 106, # <a href="#">25</a> Exhibit 107, # <a href="#">26</a> Exhibit 108, # <a href="#">27</a> Exhibit 109, # <a href="#">28</a> Exhibit 110, # <a href="#">29</a> Exhibit 111, # <a href="#">30</a> Exhibit 112, # <a href="#">31</a> Exhibit 113, # <a href="#">32</a> Exhibit 114, # <a href="#">33</a> Exhibit 115, # <a href="#">34</a> Exhibit 116, # <a href="#">35</a> Exhibit 117, # <a href="#">36</a> Exhibit 118, # <a href="#">37</a> Exhibit 119, # <a href="#">38</a> Exhibit 120, # <a href="#">39</a> Exhibit 121, # <a href="#">40</a> Exhibit 122, # <a href="#">41</a> Exhibit 123, # <a href="#">42</a> Exhibit 124, # <a href="#">43</a> Exhibit 125, # <a href="#">44</a> Exhibit 126, # <a href="#">45</a> Exhibit 127)(Dunnigan, Christopher) Modified on 3/17/2011 (db). (Entered: 03/16/2011)
03/16/2011	<a href="#">97</a>	FILING ERROR - WRONG EVENT TYPE SELECTED FROM MENU - FIRST MOTION for Partial Summary Judgment <i>Declaration of Christopher J. Dunnigan In Support of Plaintiff Securities and Exchange Commission's Motion for Partial Summary Judgment (Vol. V of V)</i> . Document filed by Securities and Exchange Commisison. Responses due by 3/30/2011 Return Date set for 4/6/2011 at 12:00 PM. (Attachments: # <a href="#">1</a> Exhibit 128, # <a href="#">2</a> Exhibit 129, # <a href="#">3</a> Exhibit 130, # <a href="#">4</a> Exhibit 131, # <a href="#">5</a> Exhibit 132, # <a href="#">6</a> Exhibit 133, # <a href="#">7</a> Exhibit 134, # <a href="#">8</a> Exhibit 135, # <a href="#">9</a> Exhibit 136, # <a href="#">10</a> Exhibit 137, # <a href="#">11</a> Exhibit 138, # <a href="#">12</a> Exhibit 139, # <a href="#">13</a> Exhibit 140, # <a href="#">14</a> Exhibit 141, # <a href="#">15</a> Exhibit 142, # <a href="#">16</a> Exhibit 143, # <a href="#">17</a> Exhibit 144, # <a href="#">18</a> Exhibit 145, # <a href="#">19</a> Exhibit 146, # <a href="#">20</a> Exhibit 147, # <a href="#">21</a> Exhibit 148, # <a href="#">22</a> Exhibit 149, # <a href="#">23</a> Exhibit 150, # <a href="#">24</a> Exhibit 151, # <a href="#">25</a> Exhibit 152, # <a href="#">26</a> Exhibit 153, # <a href="#">27</a> Exhibit 154, # <a href="#">28</a> Exhibit 155, # <a href="#">29</a> Exhibit 156, # <a href="#">30</a> Exhibit 157, # <a href="#">31</a> Exhibit 158, # <a href="#">32</a> Exhibit 159, # <a href="#">33</a> Exhibit 160, # <a href="#">34</a> Exhibit 161, # <a href="#">35</a> Exhibit 162, # <a href="#">36</a> Exhibit 163)(Dunnigan, Christopher) Modified on 3/17/2011 (db). (Entered: 03/16/2011)
03/16/2011	<a href="#">98</a>	FILING ERROR - WRONG EVENT TYPE SELECTED FROM MENU - FIRST MOTION for Partial Summary Judgment <i>Plaintiff's Statement of Undisputed Facts Pursuant to Local Civil Rule 56.1</i> . Document filed by Securities and Exchange Commisison. Responses due by 3/30/2011 Return Date set for 4/6/2011 at 12:00 PM.(Dunnigan, Christopher) Modified on 3/17/2011 (db). (Entered: 03/16/2011)
03/16/2011	<a href="#">99</a>	FILING ERROR - WRONG EVENT TYPE SELECTED FROM MENU - FIRST MOTION for Partial Summary Judgment <i>Certificate of Service of Christopher J. Dunnigan</i> . Document filed by Securities and Exchange Commisison. Responses due by 3/30/2011 Return Date set for 4/6/2011 at 12:00 PM.(Dunnigan, Christopher) Modified on 3/17/2011 (db). (Entered: 03/16/2011)

		03/16/2011)
03/16/2011	<a href="#">100</a>	FILING ERROR - WRONG EVENT TYPE SELECTED FROM MENU - FIRST MOTION for Partial Summary Judgment <i>Memorandum in Support of Plaintiff's Motion for Partial Summary Judgment Regarding Defendants' Late Trading Through Trautman Wasserman &amp; Co.</i> . Document filed by Securities and Exchange Commisison. Responses due by 3/30/2011 Return Date set for 4/6/2011 at 12:00 PM.(Dunnigan, Christopher) Modified on 3/17/2011 (db). (Entered: 03/16/2011)
03/16/2011		***NOTE TO ATTORNEY TO RE-FILE DOCUMENT - EVENT TYPE ERROR. Note to Attorney Christopher John Dunnigan to RE-FILE Document <a href="#">93</a> FIRST MOTION for Partial Summary Judgment <i>Declaration of Christopher J. Dunnigan In Support of Plaintiff Securities and Exchange Commission's Motion for Partial Summary Judgment (Vol. I of V).</i> FIRST MOTION for Partial Summary Judgment <i>Declaration of Christopher J. Dunnigan In Support of Plaintiff Securities and Exchange Commission's Motion for Partial Summary Judgment (Vol. I of V).</i> FIRST MOTION for Partial Summary Judgment <i>Declaration of Christopher J. Dunnigan In Support of Plaintiff Securities and Exchange Commission's Motion for Partial Summary Judgment (Vol. I of V).</i> FIRST MOTION for Partial Summary Judgment <i>Declaration of Christopher J. Dunnigan In Support of Plaintiff Securities and Exchange Commission's Motion for Partial Summary Judgment (Vol. I of V).</i> FIRST MOTION for Partial Summary Judgment <i>Declaration of Christopher J. Dunnigan In Support of Plaintiff Securities and Exchange Commission's Motion for Partial Summary Judgment (Vol. I of V).</i> , <a href="#">95</a> FIRST MOTION for Partial Summary Judgment <i>Declaration of Christopher J. Dunnigan In Support of Plaintiff Securities and Exchange Commission's Motion for Partial Summary Judgment (Vol. III of V).</i> FIRST MOTION for Partial Summary Judgment <i>Declaration of Christopher J. Dunnigan In Support of Plaintiff Securities and Exchange Commission's Motion for Partial Summary Judgment (Vol. III of V).</i> FIRST MOTION for Partial Summary Judgment <i>Declaration of Christopher J. Dunnigan In Support of Plaintiff Securities and Exchange Commission's Motion for Partial Summary Judgment (Vol. III of V).</i> FIRST MOTION for Partial Summary Judgment <i>Declaration of Christopher J. Dunnigan In Support of Plaintiff Securities and Exchange Commission's Motion for Partial Summary Judgment (Vol. III of V).</i> FIRST MOTION for Partial Summary Judgment <i>Declaration of Christopher J. Dunnigan In Support of Plaintiff Securities and Exchange Commission's Motion for Partial Summary Judgment (Vol. IV of V).</i> FIRST MOTION for Partial Summary Judgment <i>Declaration of Christopher J. Dunnigan In Support of Plaintiff Securities and Exchange Commission's Motion for Partial Summary Judgment (Vol. IV of V).</i> FIRST MOTION for Partial Summary Judgment <i>Declaration of Christopher J. Dunnigan In Support of Plaintiff Securities and Exchange Commission's Motion for Partial Summary Judgment (Vol. IV of V).</i> FIRST MOTION for Partial Summary Judgment <i>Declaration of Christopher J. Dunnigan In Support of Plaintiff Securities and Exchange Commission's Motion for Partial Summary Judgment (Vol. IV of V).</i> FIRST MOTION for



		<p>Partial Summary Judgment <i>Declaration of Christopher J. Dunnigan In Support of Plaintiff Securities and Exchange Commission's Motion for Partial Summary Judgment (Vol. IV of V)</i>.FIRST MOTION for Partial Summary Judgment <i>Declaration of Christopher J. Dunnigan In Support of Plaintiff Securities and Exchange Commission's Motion for Partial Summary Judgment (Vol. IV of V)</i>., <a href="#">94</a> FIRST MOTION for Partial Summary Judgment <i>Declaration of Christopher J. Dunnigan In Support of Plaintiff Securities and Exchange Commission's Motion for Partial Summary Judgment (Vol. II of V)</i>.FIRST MOTION for Partial Summary Judgment <i>Declaration of Christopher J. Dunnigan In Support of Plaintiff Securities and Exchange Commission's Motion for Partial Summary Judgment (Vol. II of V)</i>.FIRST MOTION for Partial Summary Judgment <i>Declaration of Christopher J. Dunnigan In Support of Plaintiff Securities and Exchange Commission's Motion for Partial Summary Judgment (Vol. II of V)</i>., <a href="#">97</a> FIRST MOTION for Partial Summary Judgment <i>Declaration of Christopher J. Dunnigan In Support of Plaintiff Securities and Exchange Commission's Motion for Partial Summary Judgment (Vol. V of V)</i>.FIRST MOTION for Partial Summary Judgment <i>Declaration of Christopher J. Dunnigan In Support of Plaintiff Securities and Exchange Commission's Motion for Partial Summary Judgment (Vol. V of V)</i>.FIRST MOTION for Partial Summary Judgment <i>Declaration of Christopher J. Dunnigan In Support of Plaintiff Securities and Exchange Commission's Motion for Partial Summary Judgment (Vol. V of V)</i>.FIRST MOTION for Partial Summary Judgment <i>Declaration of Christopher J. Dunnigan In Support of Plaintiff Securities and Exchange Commission's Motion for Partial Summary Judgment (Vol. V of V)</i>. Use the event type Declaration in Support of Motion found under the event list Replies, Opposition and Supporting Documents, THEN LINK TO <a href="#">92</a> MOTION. (db) (Entered: 03/17/2011)</p>
03/16/2011		<p>***NOTE TO ATTORNEY TO RE-FILE DOCUMENT - EVENT TYPE ERROR. Note to Attorney Christopher John Dunnigan to RE-FILE Document <a href="#">98</a> FIRST MOTION for Partial Summary Judgment <i>Plaintiff's Statement of Undisputed Facts Pursuant to Local Civil Rule 56.1</i>. Use the event type Rule 56.1 Statement found under the event list Other Answers. (db) (Entered: 03/17/2011)</p>
03/16/2011		<p>***NOTE TO ATTORNEY TO RE-FILE DOCUMENT - EVENT TYPE ERROR. Note to Attorney Christopher John Dunnigan to RE-FILE Document <a href="#">99</a> FIRST MOTION for Partial Summary Judgment <i>Certificate of Service of Christopher J. Dunnigan</i>. Use the event type Certificate of Service Other found under the event list Process of Service. (db) (Entered: 03/17/2011)</p>
03/16/2011		<p>***NOTE TO ATTORNEY TO RE-FILE DOCUMENT - EVENT TYPE ERROR. Note to Attorney Christopher John Dunnigan to RE-FILE Document <a href="#">100</a> FIRST MOTION for Partial Summary Judgment <i>Memorandum in Support of Plaintiff's Motion for Partial Summary Judgment Regarding Defendants' Late Trading Through Trautman Wasserman &amp; Co.</i>. Use the event type Memorandum in Support of Motion found under the event list</p>

		Replies, Opposition and Supporting Documents, THEN LINK TO <a href="#">92</a> MOTION. (db) (Entered: 03/17/2011)
03/17/2011	<a href="#">101</a>	RULE 56.1 STATEMENT. Document filed by Securities and Exchange Commisison. (Dunnigan, Christopher) (Entered: 03/17/2011)
03/17/2011	<a href="#">102</a>	FIRST MEMORANDUM OF LAW in Support re: <a href="#">92</a> FIRST MOTION for Partial Summary Judgment <i>Notice of Motion for Partial Summary Judgment. Memorandum in Support of Plaintiff's Motion for Partial Summary Judgment Regarding Defendants' Late Trading Through Trautman Wasserman &amp; Co..</i> Document filed by Securities and Exchange Commisison. (Dunnigan, Christopher) (Entered: 03/17/2011)
03/17/2011	<a href="#">103</a>	CERTIFICATE OF SERVICE of Notice of Motion for Partial Summary Judgment, Memorandum of Law in Support of Motion for Partial Summary Judgment, Declaration of Christopher J. Dunnigan in Support of Motion for Partial Summary Judgment, Plaintiff's Statement of Undisputed Facts Pursuant to Local Rule 56.1 served on Pentagon Capital Management PLC, Lewis Chester, and Pentagon Special Purpose Fund, Ltd. on March 16, 2011. Document filed by Securities and Exchange Commisison. (Dunnigan, Christopher) (Entered: 03/17/2011)
03/17/2011	<a href="#">104</a>	DECLARATION of Christopher J. Dunnigan in Support re: <a href="#">92</a> FIRST MOTION for Partial Summary Judgment <i>Notice of Motion for Partial Summary Judgment..</i> Document filed by Securities and Exchange Commisison. (Attachments: # <a href="#">1</a> Exhibit 1, # <a href="#">2</a> Exhibit 2, # <a href="#">3</a> Exhibit 2.A, # <a href="#">4</a> Exhibit 3, # <a href="#">5</a> Exhibit 4, # <a href="#">6</a> Exhibit 5, # <a href="#">7</a> Errata 6, # <a href="#">8</a> Exhibit 7, # <a href="#">9</a> Exhibit 8, # <a href="#">10</a> Exhibit 9, # <a href="#">11</a> Exhibit 10, # <a href="#">12</a> Exhibit 11, # <a href="#">13</a> Exhibit 12, # <a href="#">14</a> Exhibit 13, # <a href="#">15</a> Exhibit 14, # <a href="#">16</a> Exhibit 15, # <a href="#">17</a> Exhibit 16, # <a href="#">18</a> Exhibit 17, # <a href="#">19</a> Exhibit 18, # <a href="#">20</a> Exhibit 19, # <a href="#">21</a> Errata 20, # <a href="#">22</a> Exhibit 21, # <a href="#">23</a> Exhibit 22, # <a href="#">24</a> Exhibit 23, # <a href="#">25</a> Exhibit 24, # <a href="#">26</a> Exhibit 25, # <a href="#">27</a> Exhibit 26, # <a href="#">28</a> Exhibit 27, # <a href="#">29</a> Exhibit 28, # <a href="#">30</a> Exhibit 28.A, # <a href="#">31</a> Exhibit 28.B, # <a href="#">32</a> Exhibit 29, # <a href="#">33</a> Exhibit 30, # <a href="#">34</a> Exhibit 31, # <a href="#">35</a> Exhibit 32, # <a href="#">36</a> Exhibit 33, # <a href="#">37</a> Exhibit 34, # <a href="#">38</a> Exhibit 35)(Dunnigan, Christopher) (Entered: 03/17/2011)
03/17/2011	<a href="#">105</a>	DECLARATION of Christopher J. Dunnigan (Vol. II of V) in Support re: <a href="#">92</a> FIRST MOTION for Partial Summary Judgment <i>Notice of Motion for Partial Summary Judgment..</i> Document filed by Securities and Exchange Commisison. (Attachments: # <a href="#">1</a> Exhibit 36, # <a href="#">2</a> Exhibit 37, # <a href="#">3</a> Exhibit 38, # <a href="#">4</a> Exhibit 39, # <a href="#">5</a> Exhibit 40, # <a href="#">6</a> Exhibit 41, # <a href="#">7</a> Exhibit 42, # <a href="#">8</a> Exhibit 43, # <a href="#">9</a> Exhibit 44, # <a href="#">10</a> Exhibit 45, # <a href="#">11</a> Exhibit 46, # <a href="#">12</a> Exhibit 47, # <a href="#">13</a> Exhibit 48, # <a href="#">14</a> Exhibit 49, # <a href="#">15</a> Exhibit 50, # <a href="#">16</a> Exhibit 51)(Dunnigan, Christopher) (Entered: 03/17/2011)
03/17/2011	<a href="#">106</a>	DECLARATION of Christopher J. Dunnigan (Vol. III of V) in Support re: <a href="#">92</a> FIRST MOTION for Partial Summary Judgment <i>Notice of Motion for Partial Summary Judgment..</i> Document filed by Securities and Exchange Commisison. (Attachments: # <a href="#">1</a> Exhibit 52, # <a href="#">2</a> Exhibit 53, # <a href="#">3</a> Exhibit 54, # <a href="#">4</a> Exhibit 54.A, # <a href="#">5</a> Exhibit 54.B, # <a href="#">6</a> Exhibit 54.C, # <a href="#">7</a> Exhibit 55, # <a href="#">8</a> Exhibit 56.A, # <a href="#">9</a> Exhibit 57, # <a href="#">10</a> Exhibit 58, # <a href="#">11</a> Exhibit 59, # <a href="#">12</a> Exhibit 60, # <a href="#">13</a> Exhibit 61, # <a href="#">14</a> Exhibit 62, # <a href="#">15</a> Exhibit 63, # <a href="#">16</a> Exhibit 64, # <a href="#">17</a> Exhibit 65,



		# <a href="#">18</a> Exhibit 66, # <a href="#">19</a> Exhibit 67, # <a href="#">20</a> Exhibit 68, # <a href="#">21</a> Exhibit 69, # <a href="#">22</a> Exhibit 70, # <a href="#">23</a> Exhibit 71, # <a href="#">24</a> Exhibit 72, # <a href="#">25</a> Exhibit 73, # <a href="#">26</a> Exhibit 74, # <a href="#">27</a> Exhibit 75, # <a href="#">28</a> Exhibit 76, # <a href="#">29</a> Exhibit 77, # <a href="#">30</a> Exhibit 78, # <a href="#">31</a> Exhibit 79, # <a href="#">32</a> Exhibit 80, # <a href="#">33</a> Exhibit 81, # <a href="#">34</a> Exhibit 82)(Dunnigan, Christopher) (Entered: 03/17/2011)
03/17/2011	<a href="#">107</a>	DECLARATION of Christopher J. Dunnigan (Vol. IV of V) in Support re: <a href="#">92</a> FIRST MOTION for Partial Summary Judgment <i>Notice of Motion for Partial Summary Judgment</i> .. Document filed by Securities and Exchange Commisison. (Attachments: # <a href="#">1</a> Exhibit 83, # <a href="#">2</a> Exhibit 84, # <a href="#">3</a> Exhibit 85, # <a href="#">4</a> Exhibit 86, # <a href="#">5</a> Exhibit 87, # <a href="#">6</a> Exhibit 88, # <a href="#">7</a> Exhibit 89, # <a href="#">8</a> Exhibit 90, # <a href="#">9</a> Exhibit 91, # <a href="#">10</a> Exhibit 92, # <a href="#">11</a> Exhibit 93, # <a href="#">12</a> Exhibit 94, # <a href="#">13</a> Exhibit 95, # <a href="#">14</a> Exhibit 96, # <a href="#">15</a> Exhibit 97, # <a href="#">16</a> Exhibit 98, # <a href="#">17</a> Exhibit 99, # <a href="#">18</a> Exhibit 100, # <a href="#">19</a> Exhibit 101, # <a href="#">20</a> Exhibit 102, # <a href="#">21</a> Exhibit 103, # <a href="#">22</a> Exhibit 104, # <a href="#">23</a> Exhibit 105, # <a href="#">24</a> Exhibit 106, # <a href="#">25</a> Exhibit 107, # <a href="#">26</a> Exhibit 108, # <a href="#">27</a> Exhibit 109, # <a href="#">28</a> Exhibit 110, # <a href="#">29</a> Exhibit 111, # <a href="#">30</a> Exhibit 112, # <a href="#">31</a> Exhibit 113, # <a href="#">32</a> Exhibit 114, # <a href="#">33</a> Exhibit 115, # <a href="#">34</a> Exhibit 116, # <a href="#">35</a> Exhibit 117, # <a href="#">36</a> Exhibit 118, # <a href="#">37</a> Exhibit 119, # <a href="#">38</a> Exhibit 120, # <a href="#">39</a> Exhibit 121, # <a href="#">40</a> Exhibit 122, # <a href="#">41</a> Exhibit 123, # <a href="#">42</a> Exhibit 124, # <a href="#">43</a> Exhibit 125, # <a href="#">44</a> Exhibit 126, # <a href="#">45</a> Exhibit 127)(Dunnigan, Christopher) (Entered: 03/17/2011)
03/17/2011	<a href="#">108</a>	DECLARATION of Christopher J. Dunnigan (Vol. V of V) in Support re: <a href="#">92</a> FIRST MOTION for Partial Summary Judgment <i>Notice of Motion for Partial Summary Judgment</i> .. Document filed by Securities and Exchange Commisison. (Attachments: # <a href="#">1</a> Exhibit 128, # <a href="#">2</a> Exhibit 129, # <a href="#">3</a> Exhibit 130, # <a href="#">4</a> Exhibit 131, # <a href="#">5</a> Exhibit 132, # <a href="#">6</a> Exhibit 133, # <a href="#">7</a> Exhibit 134, # <a href="#">8</a> Exhibit 135, # <a href="#">9</a> Exhibit 136, # <a href="#">10</a> Exhibit 137, # <a href="#">11</a> Exhibit 138, # <a href="#">12</a> Exhibit 139, # <a href="#">13</a> Exhibit 140, # <a href="#">14</a> Exhibit 141, # <a href="#">15</a> Exhibit 142, # <a href="#">16</a> Exhibit 143, # <a href="#">17</a> Exhibit 144, # <a href="#">18</a> Exhibit 145, # <a href="#">19</a> Exhibit 146, # <a href="#">20</a> Exhibit 147, # <a href="#">21</a> Exhibit 148, # <a href="#">22</a> Exhibit 149, # <a href="#">23</a> Exhibit 150, # <a href="#">24</a> Exhibit 151, # <a href="#">25</a> Exhibit 152, # <a href="#">26</a> Exhibit 153, # <a href="#">27</a> Exhibit 154, # <a href="#">28</a> Exhibit 155, # <a href="#">29</a> Exhibit 156, # <a href="#">30</a> Exhibit 157, # <a href="#">31</a> Exhibit 158, # <a href="#">32</a> Exhibit 159, # <a href="#">33</a> Exhibit 160, # <a href="#">34</a> Exhibit 161, # <a href="#">35</a> Exhibit 162, # <a href="#">36</a> Exhibit 163)(Dunnigan, Christopher) (Entered: 03/17/2011)
03/18/2011	<a href="#">109</a>	ENDORSED LETTER addressed to Judge Robert P. Patterson, Jr. from Paul G. Gizzi, dated 3/15/2011, re: I represent the Securities and Exchange Commission in the above-referenced action. Pursuant to the Court's Order issued March 14, 2011, the Commission will be submitting its motion for partial summary judgment on March 16, 2011. The parties jointly request permission to file opening and opposition memoranda of law of no more than 40 pages, and the Commission requests permission to file a reply memorandum of law of no more than 20 pages. ENDORSEMENT: SO ORDERED. (Signed by Judge Robert W. Sweet on 3/17/2011) (lnl) (Entered: 03/18/2011)
03/22/2011	<a href="#">110</a>	ORDER. The Scheduling Order dated March 14, 2011 is hereby amended as follows: the SEC's motion for summary judgment will be heard at noon on Tuesday, April 5, 2011, in Courtroom 18C. Set Deadlines/Hearing as to <a href="#">92</a> FIRST MOTION for Partial Summary Judgment <i>Notice of Motion for Partial</i>

		<i>Summary Judgment.</i> (Motion Hearing set for 4/5/2011 at 12:00 PM in Courtroom 18C, 500 Pearl Street, New York, NY 10007 before Judge Robert W. Sweet.) (Signed by Judge Robert W. Sweet on 3/22/2011) (rjm) (Entered: 03/22/2011)
03/28/2011	<a href="#">111</a>	PRETRIAL MEMORANDUM. Document filed by Lewis Chester, Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD.. (Attachments: # <a href="#">1</a> Exhibit, # <a href="#">2</a> Exhibit)(Razzano, Frank) (Entered: 03/28/2011)
03/28/2011	<a href="#">112</a>	MOTION in Limine <i>To Determine the Admissibility of Former Testimony of Unavailable Witnesses</i> . Document filed by Lewis Chester, Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD.. Return Date set for 4/12/2011 at 12:00 PM. (Attachments: # <a href="#">1</a> Text of Proposed Order)(Razzano, Frank) (Entered: 03/28/2011)
03/28/2011	<a href="#">113</a>	MEMORANDUM OF LAW in Support re: <a href="#">112</a> MOTION in Limine <i>To Determine the Admissibility of Former Testimony of Unavailable Witnesses</i> .. Document filed by Lewis Chester, Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD.. (Razzano, Frank) (Entered: 03/28/2011)
03/28/2011	<a href="#">114</a>	FIRST MOTION in Limine <i>Regarding Defendants Use of Documents Not Relating to Trading in U.S. Mutual Funds</i> . Document filed by Securities and Exchange Commisison. Return Date set for 4/12/2011 at 10:00 AM. (Dunnigan, Christopher) (Entered: 03/28/2011)
03/28/2011	<a href="#">115</a>	DECLARATION of Christopher J. Dunnigan in Support re: <a href="#">114</a> FIRST MOTION in Limine <i>Regarding Defendants Use of Documents Not Relating to Trading in U.S. Mutual Funds</i> .. Document filed by Securities and Exchange Commisison. (Attachments: # <a href="#">1</a> Exhibit 1, # <a href="#">2</a> Exhibit 2) (Dunnigan, Christopher) (Entered: 03/28/2011)
03/28/2011	<a href="#">116</a>	FIRST MEMORANDUM OF LAW in Support re: <a href="#">114</a> FIRST MOTION in Limine <i>Regarding Defendants Use of Documents Not Relating to Trading in U.S. Mutual Funds</i> .. Document filed by Securities and Exchange Commisison. (Dunnigan, Christopher) (Entered: 03/28/2011)
03/28/2011	<a href="#">117</a>	SECOND MOTION in Limine <i>Regarding the Expert Testimony of Prof. Jonathan Macey</i> . Document filed by Securities and Exchange Commisison. Return Date set for 4/12/2011 at 10:00 AM.(Dunnigan, Christopher) (Entered: 03/28/2011)
03/28/2011	<a href="#">118</a>	FIRST MEMORANDUM OF LAW in Support re: <a href="#">117</a> SECOND MOTION in Limine <i>Regarding the Expert Testimony of Prof. Jonathan Macey</i> .. Document filed by Securities and Exchange Commisison. (Dunnigan, Christopher) (Entered: 03/28/2011)
03/28/2011	<a href="#">119</a>	DECLARATION of Christopher J. Dunnigan in Support re: <a href="#">117</a> SECOND MOTION in Limine <i>Regarding the Expert Testimony of Prof. Jonathan Macey</i> .. Document filed by Securities and Exchange Commisison. (Attachments: # <a href="#">1</a> Exhibit 1, # <a href="#">2</a> Exhibit 2, # <a href="#">3</a> Exhibit 3, # <a href="#">4</a> Exhibit 4, # <a href="#">5</a> Errata 5)(Dunnigan, Christopher) (Entered: 03/28/2011)

03/30/2011	<a href="#">120</a>	ENDORSED LETTER addressed to Judge Robert W. Sweet from Frank C. Razzano dated 3/29/2011 re: Counsel respectfully request permission to file the motion in limine and its exhibits in hard copy with the Office of the Clerk. ENDORSEMENT: So Ordered. (Signed by Judge Robert W. Sweet on 3/29/2011) (jfe) (Entered: 03/30/2011)
03/30/2011	<a href="#">121</a>	ENDORSED LETTER addressed to Judge Robert W. Sweet from Christopher J. Dunnigan dated 3/28/2011 re: Counsel respectfully request permission to file the joint pre-trial statement in hard copy with the office of the Clerk. ENDORSEMENT: So Ordered. (Signed by Judge Robert W. Sweet on 3/29/2011) (jfe) (Entered: 03/30/2011)
03/30/2011	<a href="#">122</a>	RESPONSE in Opposition re: <a href="#">92</a> FIRST MOTION for Partial Summary Judgment <i>Notice of Motion for Partial Summary Judgment</i> .. Document filed by Lewis Chester, Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD.. (Razzano, Frank) (Entered: 03/30/2011)
03/30/2011	<a href="#">123</a>	RESPONSE in Opposition re: <a href="#">98</a> FIRST MOTION for Partial Summary Judgment <i>Plaintiff's Statement of Undisputed Facts Pursuant to Local Civil Rule 56.1</i> .. Document filed by Lewis Chester, Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD.. (Razzano, Frank) (Entered: 03/30/2011)
03/30/2011	<a href="#">124</a>	NOTICE of Filing Exhibits. Document filed by Lewis Chester, Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD.. (Attachments: # <a href="#">1</a> Exhibit)(Razzano, Frank) (Entered: 03/30/2011)
03/30/2011	125	MOTION in Limine to determine the admissibility of former Testimony of unavailable witnesses Ryan Goldberg and Michael Grady. Document filed by Lewis Chester, Pentagon Capital Management PLC.(mbe) (Entered: 03/31/2011)
03/30/2011	126	MEMORANDUM OF LAW in Support re: 125 MOTION in Limine to determine the admissibility of former Testimony of unavailable witnesses Ryan Goldberg and Michael Grady. Document filed by Lewis Chester, Pentagon Capital Management PLC. (mbe) (Entered: 03/31/2011)
03/30/2011	127	DECLARATION of Ivan B. Knauer in Support re: 125 MOTION in Limine to determine the admissibility of former Testimony of unavailable witnesses Ryan Goldberg and Michael Grady. Document filed by Lewis Chester, Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD.. (mbe) (Entered: 03/31/2011)
04/01/2011	<a href="#">128</a>	MOTION in Limine <i>to Preclude Defendants from Calling Witnesses they Failed to Identify in their Initial Disclosures or in Discovery</i> . Document filed by Securities and Exchange Commisison.(Gizzi, Paul) (Entered: 04/01/2011)
04/01/2011	<a href="#">129</a>	MEMORANDUM OF LAW in Support re: <a href="#">128</a> MOTION in Limine <i>to Preclude Defendants from Calling Witnesses they Failed to Identify in their Initial Disclosures or in Discovery</i> .. Document filed by Securities and Exchange Commisison. (Gizzi, Paul) (Entered: 04/01/2011)
04/01/2011	<a href="#">130</a>	DECLARATION of Paul G. Gizzi in Support re: <a href="#">128</a> MOTION in Limine <i>to</i>

		<i>Preclude Defendants from Calling Witnesses they Failed to Identify in their Initial Disclosures or in Discovery..</i> Document filed by Securities and Exchange Commisison. (Gizzi, Paul) (Entered: 04/01/2011)
04/01/2011	139	JOINT PRETRIAL ORDER. (mbe) (Entered: 04/05/2011)
04/04/2011	<a href="#">131</a>	MEMORANDUM OF LAW in Opposition re: <a href="#">114</a> FIRST MOTION in <i>Limine Regarding Defendants Use of Documents Not Relating to Trading in U.S. Mutual Funds..</i> Document filed by Lewis Chester, Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD.. (Razzano, Frank) (Entered: 04/04/2011)
04/04/2011	<a href="#">132</a>	MEMORANDUM OF LAW in Opposition re: <a href="#">117</a> SECOND MOTION in <i>Limine Regarding the Expert Testimony of Prof. Jonathan Macey..</i> Document filed by Lewis Chester, Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD.. (Razzano, Frank) (Entered: 04/04/2011)
04/04/2011	<a href="#">133</a>	MEMORANDUM OF LAW in Opposition re: <a href="#">128</a> MOTION in <i>Limine to Preclude Defendants from Calling Witnesses they Failed to Identify in their Initial Disclosures or in Discovery..</i> Document filed by Lewis Chester, Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD.. (Razzano, Frank) (Entered: 04/04/2011)
04/04/2011	<a href="#">134</a>	FIRST REPLY MEMORANDUM OF LAW in Support re: <a href="#">92</a> FIRST MOTION for Partial Summary Judgment <i>Notice of Motion for Partial Summary Judgment. Securities and Exchange Commission's Reply Memorandum of Law.</i> Document filed by Securities and Exchange Commisison. (Dunnigan, Christopher) (Entered: 04/04/2011)
04/04/2011	<a href="#">135</a>	DECLARATION of IVAN B. KNAUER in Opposition re: <a href="#">128</a> MOTION in <i>Limine to Preclude Defendants from Calling Witnesses they Failed to Identify in their Initial Disclosures or in Discovery..</i> Document filed by Lewis Chester, Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD.. (Attachments: # <a href="#">1</a> Exhibit)(Razzano, Frank) (Entered: 04/04/2011)
04/04/2011	<a href="#">136</a>	DECLARATION of Christopher J. Dunnigan in Support re: <a href="#">92</a> FIRST MOTION for Partial Summary Judgment <i>Notice of Motion for Partial Summary Judgment..</i> Document filed by Securities and Exchange Commisison. (Attachments: # <a href="#">1</a> Exhibit 164, # <a href="#">2</a> Exhibit 165, # <a href="#">3</a> Exhibit 166)(Dunnigan, Christopher) (Entered: 04/04/2011)
04/04/2011	<a href="#">137</a>	MEMORANDUM OF LAW in Opposition re: <a href="#">112</a> MOTION in <i>Limine To Determine the Admissibility of Former Testimony of Unavailable Witnesses..</i> Document filed by Securities and Exchange Commisison. (Gizzi, Paul) (Entered: 04/04/2011)
04/04/2011	<a href="#">138</a>	DECLARATION of Christopher J. Dunnigan in Support re: <a href="#">117</a> SECOND MOTION in <i>Limine Regarding the Expert Testimony of Prof. Jonathan Macey..</i> Document filed by Securities and Exchange Commisison. (Attachments: # <a href="#">1</a> Exhibit 1, # <a href="#">2</a> Exhibit 2, # <a href="#">3</a> Exhibit 3, # <a href="#">4</a> Exhibit 4, # <a href="#">5</a> Exhibit 5)(Dunnigan, Christopher) (Entered: 04/04/2011)

04/05/2011	<a href="#">140</a>	ORDER: The parties' Motions in Limine regarding (1) the admissibility of former testimony of unavailable witnesses Ryan Goldberg and Michael Grady, (2) Defendants' use of exhibits pertaining to non-U.S. investment funds (3) the expert report and testimony of Professor Jonathan Macey, and (4) the preclusion of Defendants' witnesses, shall be heard at noon on Monday, April 11, 2011 in Courtroom 18C. So Ordered (Signed by Judge Robert W. Sweet on 4/5/2011) (js) (Entered: 04/05/2011)
04/05/2011		Minute Entry for proceedings held before Judge Robert W. Sweet: Oral Argument held on 4/5/2011 re: <a href="#">112</a> MOTION in Limine <i>To Determine the Admissibility of Former Testimony of Unavailable Witnesses</i> . filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester. (mbe) (Entered: 04/11/2011)
04/12/2011		Minute Entry for proceedings held before Judge Robert W. Sweet: Bench Trial begun on 4/12/2011. (mbe) (Entered: 06/15/2011)
04/13/2011		Minute Entry for proceedings held before Judge Robert W. Sweet: Bench Trial held on 4/13/2011. (mbe) (Entered: 06/15/2011)
04/14/2011		Minute Entry for proceedings held before Judge Robert W. Sweet: Bench Trial held on 4/14/2011. (mbe) (Entered: 06/15/2011)
04/15/2011		Minute Entry for proceedings held before Judge Robert W. Sweet: Bench Trial held on 4/15/2011. (mbe) (Entered: 06/15/2011)
04/18/2011		Minute Entry for proceedings held before Judge Robert W. Sweet: Bench Trial held on 4/18/2011. (mbe) (Entered: 06/15/2011)
04/19/2011		Minute Entry for proceedings held before Judge Robert W. Sweet: Bench Trial held on 4/19/2011. (mbe) (Entered: 06/15/2011)
04/20/2011		Minute Entry for proceedings held before Judge Robert W. Sweet: Bench Trial held on 4/20/2011. (mbe) (Entered: 06/15/2011)
04/21/2011		Minute Entry for proceedings held before Judge Robert W. Sweet: Bench Trial held on 4/21/2011. (mbe) (Entered: 06/15/2011)
04/22/2011		Minute Entry for proceedings held before Judge Robert W. Sweet: Bench Trial held on 4/22/2011. (mbe) (Entered: 06/15/2011)
04/25/2011	<a href="#">141</a>	MEMO ENDORSEMENT on NOTICE OF MOTION FOR PARTIAL SUMMARY JUDGMENT REGARDING DEFENDANTS' LATE TRADING THROUGH TRAUTMAN WASSERMAN & CO. ENDORSEMENT: Motion denied issues of fact having been presented. (Signed by Judge Robert W. Sweet on 4/22/2011) (jpo) (Entered: 04/25/2011)
04/25/2011		Minute Entry for proceedings held before Judge Robert W. Sweet: Bench Trial held on 4/25/2011. (mbe) (Entered: 06/15/2011)
04/26/2011		Minute Entry for proceedings held before Judge Robert W. Sweet: Bench Trial held on 4/26/2011. (mbe) (Entered: 06/15/2011)
04/27/2011		Minute Entry for proceedings held before Judge Robert W. Sweet: Bench Trial held on 4/27/2011. (mbe) (Entered: 06/15/2011)



04/28/2011		Minute Entry for proceedings held before Judge Robert W. Sweet: Bench Trial held on 4/28/2011. (mbe) (Entered: 06/15/2011)
04/29/2011		Minute Entry for proceedings held before Judge Robert W. Sweet: Bench Trial held on 4/29/2011. (mbe) (Entered: 06/15/2011)
05/02/2011		Minute Entry for proceedings held before Judge Robert W. Sweet: Bench Trial held on 5/2/2011. (ft) (Entered: 06/14/2011)
05/03/2011		Minute Entry for proceedings held before Judge Robert W. Sweet: Bench Trial held on 5/3/2011. (ft) (Entered: 06/14/2011)
05/03/2011		***DELETED ENTRY. Deleted Minute Entry for Bench Trial held on 5/3/11. The document was incorrectly appended a document number. (ft) (Entered: 06/14/2011)
05/06/2011		Minute Entry for proceedings held before Judge Robert W. Sweet: Bench Trial completed on 5/6/2011. (ft) (Entered: 06/14/2011)
06/06/2011	<a href="#">142</a>	TRANSCRIPT of Proceedings re: Trial held on 4/12/2011 before Judge Robert W. Sweet. Court Reporter/Transcriber: Michael McDaniel, (212) 805-0300. Transcript may be viewed at the court public terminal or purchased through the Court Reporter/Transcriber before the deadline for Release of Transcript Restriction. After that date it may be obtained through PACER. Redaction Request due 6/30/2011. Redacted Transcript Deadline set for 7/11/2011. Release of Transcript Restriction set for 9/8/2011.(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">144</a>	TRANSCRIPT of Proceedings re: Trial held on 4/14/2011 before Judge Robert W. Sweet. Court Reporter/Transcriber: Michael McDaniel, (212) 805-0300. Transcript may be viewed at the court public terminal or purchased through the Court Reporter/Transcriber before the deadline for Release of Transcript Restriction. After that date it may be obtained through PACER. Redaction Request due 6/30/2011. Redacted Transcript Deadline set for 7/11/2011. Release of Transcript Restriction set for 9/8/2011.(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">146</a>	TRANSCRIPT of Proceedings re: Trial held on 4/13/2011 before Judge Robert W. Sweet. Court Reporter/Transcriber: Michael McDaniel, (212) 805-0300. Transcript may be viewed at the court public terminal or purchased through the Court Reporter/Transcriber before the deadline for Release of Transcript Restriction. After that date it may be obtained through PACER. Redaction Request due 6/30/2011. Redacted Transcript Deadline set for 7/11/2011. Release of Transcript Restriction set for 9/8/2011.(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">148</a>	TRANSCRIPT of Proceedings re: Trial held on 4/15/2011 before Judge Robert W. Sweet. Court Reporter/Transcriber: Ann Hairston, (212) 805-0300. Transcript may be viewed at the court public terminal or purchased through the Court Reporter/Transcriber before the deadline for Release of Transcript Restriction. After that date it may be obtained through PACER. Redaction Request due 6/30/2011. Redacted Transcript Deadline set for 7/11/2011. Release of Transcript Restriction set for 9/8/2011.(McGuirk, Kelly) (Entered: 06/06/2011)



		06/06/2011)
06/06/2011	<a href="#">150</a>	TRANSCRIPT of Proceedings re: Trial held on 4/18/2011 before Judge Robert W. Sweet. Court Reporter/Transcriber: Ann Hairston, (212) 805-0300. Transcript may be viewed at the court public terminal or purchased through the Court Reporter/Transcriber before the deadline for Release of Transcript Restriction. After that date it may be obtained through PACER. Redaction Request due 6/30/2011. Redacted Transcript Deadline set for 7/11/2011. Release of Transcript Restriction set for 9/8/2011.(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">152</a>	TRANSCRIPT of Proceedings re: Trial held on 4/19/2011 before Judge Robert W. Sweet. Court Reporter/Transcriber: Ann Hairston, (212) 805-0300. Transcript may be viewed at the court public terminal or purchased through the Court Reporter/Transcriber before the deadline for Release of Transcript Restriction. After that date it may be obtained through PACER. Redaction Request due 6/30/2011. Redacted Transcript Deadline set for 7/11/2011. Release of Transcript Restriction set for 9/8/2011.(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">154</a>	TRANSCRIPT of Proceedings re: Trial held on 4/20/2011 before Judge Robert W. Sweet. Court Reporter/Transcriber: Ann Hairston, (212) 805-0300. Transcript may be viewed at the court public terminal or purchased through the Court Reporter/Transcriber before the deadline for Release of Transcript Restriction. After that date it may be obtained through PACER. Redaction Request due 6/30/2011. Redacted Transcript Deadline set for 7/11/2011. Release of Transcript Restriction set for 9/8/2011.(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">156</a>	TRANSCRIPT of Proceedings re: Trial held on 4/21/2011 before Judge Robert W. Sweet. Court Reporter/Transcriber: Ann Hairston, (212) 805-0300. Transcript may be viewed at the court public terminal or purchased through the Court Reporter/Transcriber before the deadline for Release of Transcript Restriction. After that date it may be obtained through PACER. Redaction Request due 6/30/2011. Redacted Transcript Deadline set for 7/11/2011. Release of Transcript Restriction set for 9/8/2011.(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">158</a>	TRANSCRIPT of Proceedings re: Trial held on 4/22/2011 before Judge Robert W. Sweet. Court Reporter/Transcriber: Ann Hairston, (212) 805-0300. Transcript may be viewed at the court public terminal or purchased through the Court Reporter/Transcriber before the deadline for Release of Transcript Restriction. After that date it may be obtained through PACER. Redaction Request due 6/30/2011. Redacted Transcript Deadline set for 7/11/2011. Release of Transcript Restriction set for 9/8/2011.(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">160</a>	TRANSCRIPT of Proceedings re: Trial held on 4/25/2011 before Judge Robert W. Sweet. Court Reporter/Transcriber: Ann Hairston, (212) 805-0300. Transcript may be viewed at the court public terminal or purchased through the Court Reporter/Transcriber before the deadline for Release of Transcript Restriction. After that date it may be obtained through PACER. Redaction

		Request due 6/30/2011. Redacted Transcript Deadline set for 7/11/2011. Release of Transcript Restriction set for 9/8/2011.(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">162</a>	TRANSCRIPT of Proceedings re: Trial held on 4/26/2011 before Judge Robert W. Sweet. Court Reporter/Transcriber: Ann Hairston, (212) 805-0300. Transcript may be viewed at the court public terminal or purchased through the Court Reporter/Transcriber before the deadline for Release of Transcript Restriction. After that date it may be obtained through PACER. Redaction Request due 6/30/2011. Redacted Transcript Deadline set for 7/11/2011. Release of Transcript Restriction set for 9/8/2011.(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">164</a>	TRANSCRIPT of Proceedings re: Trial held on 4/27/2011 before Judge Robert W. Sweet. Court Reporter/Transcriber: Ann Hairston, (212) 805-0300. Transcript may be viewed at the court public terminal or purchased through the Court Reporter/Transcriber before the deadline for Release of Transcript Restriction. After that date it may be obtained through PACER. Redaction Request due 6/30/2011. Redacted Transcript Deadline set for 7/11/2011. Release of Transcript Restriction set for 9/8/2011.(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">166</a>	TRANSCRIPT of Proceedings re: Trial held on 4/28/2011 before Judge Robert W. Sweet. Court Reporter/Transcriber: Ann Hairston, (212) 805-0300. Transcript may be viewed at the court public terminal or purchased through the Court Reporter/Transcriber before the deadline for Release of Transcript Restriction. After that date it may be obtained through PACER. Redaction Request due 6/30/2011. Redacted Transcript Deadline set for 7/11/2011. Release of Transcript Restriction set for 9/8/2011.(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">168</a>	TRANSCRIPT of Proceedings re: Trial held on 4/29/2011 before Judge Robert W. Sweet. Court Reporter/Transcriber: Ann Hairston, (212) 805-0300. Transcript may be viewed at the court public terminal or purchased through the Court Reporter/Transcriber before the deadline for Release of Transcript Restriction. After that date it may be obtained through PACER. Redaction Request due 6/30/2011. Redacted Transcript Deadline set for 7/11/2011. Release of Transcript Restriction set for 9/8/2011.(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">170</a>	TRANSCRIPT of Proceedings re: Trial held on 5/2/2011 before Judge Robert W. Sweet. Court Reporter/Transcriber: Ann Hairston, (212) 805-0300. Transcript may be viewed at the court public terminal or purchased through the Court Reporter/Transcriber before the deadline for Release of Transcript Restriction. After that date it may be obtained through PACER. Redaction Request due 6/30/2011. Redacted Transcript Deadline set for 7/11/2011. Release of Transcript Restriction set for 9/8/2011.(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">172</a>	TRANSCRIPT of Proceedings re: Trial held on 5/3/2011 before Judge Robert W. Sweet. Court Reporter/Transcriber: Ann Hairston, (212) 805-0300. Transcript may be viewed at the court public terminal or purchased through

		the Court Reporter/Transcriber before the deadline for Release of Transcript Restriction. After that date it may be obtained through PACER. Redaction Request due 6/30/2011. Redacted Transcript Deadline set for 7/11/2011. Release of Transcript Restriction set for 9/8/2011.(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">174</a>	TRANSCRIPT of Proceedings re: Trial held on 5/4/2011 before Judge Robert W. Sweet. Court Reporter/Transcriber: Ann Hairston, (212) 805-0300. Transcript may be viewed at the court public terminal or purchased through the Court Reporter/Transcriber before the deadline for Release of Transcript Restriction. After that date it may be obtained through PACER. Redaction Request due 6/30/2011. Redacted Transcript Deadline set for 7/11/2011. Release of Transcript Restriction set for 9/8/2011.(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">175</a>	NOTICE OF FILING OF OFFICIAL TRANSCRIPT Notice is hereby given that an official transcript of a Trial proceeding held on 4/12/11 has been filed by the court reporter/transcriber in the above-captioned matter. The parties have seven (7) calendar days to file with the court a Notice of Intent to Request Redaction of this transcript. If no such Notice is filed, the transcript may be made remotely electronically available to the public without redaction after 90 calendar days...(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">176</a>	NOTICE OF FILING OF OFFICIAL TRANSCRIPT Notice is hereby given that an official transcript of a Trial proceeding held on 4/13/2011 has been filed by the court reporter/transcriber in the above-captioned matter. The parties have seven (7) calendar days to file with the court a Notice of Intent to Request Redaction of this transcript. If no such Notice is filed, the transcript may be made remotely electronically available to the public without redaction after 90 calendar days...(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">177</a>	NOTICE OF FILING OF OFFICIAL TRANSCRIPT Notice is hereby given that an official transcript of a Trial proceeding held on 4/14/11 has been filed by the court reporter/transcriber in the above-captioned matter. The parties have seven (7) calendar days to file with the court a Notice of Intent to Request Redaction of this transcript. If no such Notice is filed, the transcript may be made remotely electronically available to the public without redaction after 90 calendar days...(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">178</a>	NOTICE OF FILING OF OFFICIAL TRANSCRIPT Notice is hereby given that an official transcript of a Trial proceeding held on 4/15/11 has been filed by the court reporter/transcriber in the above-captioned matter. The parties have seven (7) calendar days to file with the court a Notice of Intent to Request Redaction of this transcript. If no such Notice is filed, the transcript may be made remotely electronically available to the public without redaction after 90 calendar days...(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">179</a>	NOTICE OF FILING OF OFFICIAL TRANSCRIPT Notice is hereby given that an official transcript of a Trial proceeding held on 4/18/11 has been filed by the court reporter/transcriber in the above-captioned matter. The parties have seven (7) calendar days to file with the court a Notice of Intent to Request Redaction of this transcript. If no such Notice is filed, the transcript

		may be made remotely electronically available to the public without redaction after 90 calendar days...(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">180</a>	NOTICE OF FILING OF OFFICIAL TRANSCRIPT Notice is hereby given that an official transcript of a Trial proceeding held on 4/19/11 has been filed by the court reporter/transcriber in the above-captioned matter. The parties have seven (7) calendar days to file with the court a Notice of Intent to Request Redaction of this transcript. If no such Notice is filed, the transcript may be made remotely electronically available to the public without redaction after 90 calendar days...(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">181</a>	NOTICE OF FILING OF OFFICIAL TRANSCRIPT Notice is hereby given that an official transcript of a Trial proceeding held on 4/20/11 has been filed by the court reporter/transcriber in the above-captioned matter. The parties have seven (7) calendar days to file with the court a Notice of Intent to Request Redaction of this transcript. If no such Notice is filed, the transcript may be made remotely electronically available to the public without redaction after 90 calendar days...(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">182</a>	NOTICE OF FILING OF OFFICIAL TRANSCRIPT Notice is hereby given that an official transcript of a Trial proceeding held on 4/21/11 has been filed by the court reporter/transcriber in the above-captioned matter. The parties have seven (7) calendar days to file with the court a Notice of Intent to Request Redaction of this transcript. If no such Notice is filed, the transcript may be made remotely electronically available to the public without redaction after 90 calendar days...(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">183</a>	NOTICE OF FILING OF OFFICIAL TRANSCRIPT Notice is hereby given that an official transcript of a Trial proceeding held on 4/21/11 has been filed by the court reporter/transcriber in the above-captioned matter. The parties have seven (7) calendar days to file with the court a Notice of Intent to Request Redaction of this transcript. If no such Notice is filed, the transcript may be made remotely electronically available to the public without redaction after 90 calendar days...(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">184</a>	NOTICE OF FILING OF OFFICIAL TRANSCRIPT Notice is hereby given that an official transcript of a Trial proceeding held on 4/22/11 has been filed by the court reporter/transcriber in the above-captioned matter. The parties have seven (7) calendar days to file with the court a Notice of Intent to Request Redaction of this transcript. If no such Notice is filed, the transcript may be made remotely electronically available to the public without redaction after 90 calendar days...(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">185</a>	NOTICE OF FILING OF OFFICIAL TRANSCRIPT Notice is hereby given that an official transcript of a Trial proceeding held on 4/25/11 has been filed by the court reporter/transcriber in the above-captioned matter. The parties have seven (7) calendar days to file with the court a Notice of Intent to Request Redaction of this transcript. If no such Notice is filed, the transcript may be made remotely electronically available to the public without redaction after 90 calendar days...(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">186</a>	NOTICE OF FILING OF OFFICIAL TRANSCRIPT Notice is hereby given

		that an official transcript of a TRIAL proceeding held on 4/26/11 has been filed by the court reporter/transcriber in the above-captioned matter. The parties have seven (7) calendar days to file with the court a Notice of Intent to Request Redaction of this transcript. If no such Notice is filed, the transcript may be made remotely electronically available to the public without redaction after 90 calendar days...(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">187</a>	NOTICE OF FILING OF OFFICIAL TRANSCRIPT Notice is hereby given that an official transcript of a Trial proceeding held on 4/28/11 has been filed by the court reporter/transcriber in the above-captioned matter. The parties have seven (7) calendar days to file with the court a Notice of Intent to Request Redaction of this transcript. If no such Notice is filed, the transcript may be made remotely electronically available to the public without redaction after 90 calendar days...(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">188</a>	NOTICE OF FILING OF OFFICIAL TRANSCRIPT Notice is hereby given that an official transcript of a Trial proceeding held on 4/27/11 has been filed by the court reporter/transcriber in the above-captioned matter. The parties have seven (7) calendar days to file with the court a Notice of Intent to Request Redaction of this transcript. If no such Notice is filed, the transcript may be made remotely electronically available to the public without redaction after 90 calendar days...(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">189</a>	NOTICE OF FILING OF OFFICIAL TRANSCRIPT Notice is hereby given that an official transcript of a Trial proceeding held on 4/29/11 has been filed by the court reporter/transcriber in the above-captioned matter. The parties have seven (7) calendar days to file with the court a Notice of Intent to Request Redaction of this transcript. If no such Notice is filed, the transcript may be made remotely electronically available to the public without redaction after 90 calendar days...(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">190</a>	NOTICE OF FILING OF OFFICIAL TRANSCRIPT Notice is hereby given that an official transcript of a Trial proceeding held on 5/2/11 has been filed by the court reporter/transcriber in the above-captioned matter. The parties have seven (7) calendar days to file with the court a Notice of Intent to Request Redaction of this transcript. If no such Notice is filed, the transcript may be made remotely electronically available to the public without redaction after 90 calendar days...(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">191</a>	NOTICE OF FILING OF OFFICIAL TRANSCRIPT Notice is hereby given that an official transcript of a Trial proceeding held on 5/3/11 has been filed by the court reporter/transcriber in the above-captioned matter. The parties have seven (7) calendar days to file with the court a Notice of Intent to Request Redaction of this transcript. If no such Notice is filed, the transcript may be made remotely electronically available to the public without redaction after 90 calendar days...(McGuirk, Kelly) (Entered: 06/06/2011)
06/06/2011	<a href="#">192</a>	NOTICE OF FILING OF OFFICIAL TRANSCRIPT Notice is hereby given that an official transcript of a TRIAL proceeding held on 5/4/11 has been filed by the court reporter/transcriber in the above-captioned matter. The parties have seven (7) calendar days to file with the court a Notice of Intent to Request Redaction of this transcript. If no such Notice is filed, the transcript



		may be made remotely electronically available to the public without redaction after 90 calendar days...(McGuirk, Kelly) (Entered: 06/06/2011)
06/14/2011		***DELETED ENTRY. Deleted Minute Entry. The entry was incorrectly filed in this case. (ft) (Entered: 06/21/2011)
07/15/2011	<a href="#">193</a>	POST TRIAL MEMORANDUM. Document filed by Lewis Chester, Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD.. (Razzano, Frank) (Entered: 07/15/2011)
07/15/2011	<a href="#">194</a>	PROPOSED FINDINGS OF FACT AND CONCLUSIONS OF LAW. Document filed by Lewis Chester, Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD..(Razzano, Frank) (Entered: 07/15/2011)
07/15/2011	<a href="#">195</a>	POST TRIAL MEMORANDUM. Document filed by Securities and Exchange Commisison.(Dunnigan, Christopher) (Entered: 07/15/2011)
07/15/2011	<a href="#">196</a>	PROPOSED FINDINGS OF FACT AND CONCLUSIONS OF LAW. Document filed by Securities and Exchange Commisison.(Dunnigan, Christopher) (Entered: 07/15/2011)
08/25/2011	<a href="#">197</a>	MOTION for Protective Order. Document filed by Federated Investors, Inc.. (Attachments: # <a href="#">1</a> Proposed Order)(Winters, Daniel) (Entered: 08/25/2011)
08/25/2011	<a href="#">198</a>	FILING ERROR - DEFICIENT DOCKET ENTRY - MEMORANDUM OF LAW in Support re: <a href="#">197</a> MOTION for Protective Order. Document filed by Federated Investors, Inc.(Winters, Daniel) Modified on 8/26/2011 (db). (Entered: 08/25/2011)
08/25/2011	<a href="#">199</a>	CERTIFICATE OF SERVICE. Document filed by Federated Investors, Inc.. (Winters, Daniel) (Entered: 08/25/2011)
08/25/2011		***NOTE TO ATTORNEY TO RE-FILE DOCUMENT - DEFICIENT DOCKET ENTRY ERROR. Note to Attorney Daniel K. Winters to RE-FILE Document <a href="#">198</a> Memorandum of Law in Support of Motion. ERROR(S): Supporting Documents are filed separately, each receiving their own document #. (db) (Entered: 08/26/2011)
09/08/2011	<a href="#">200</a>	ORDER: Federated Investors, Inc.'s motion for intervention and a protective order, dated August 25, 2011, will be heard at noon on Wednesday, September 29, 2011, in Courtroom 18C. All motion papers shall be served in accordance with Local Civil Rule 6.1.Set Deadlines/Hearing as to <a href="#">197</a> MOTION for Protective Order:( Motion Hearing set for 9/29/2011 at 12:00 PM in Courtroom 18C, 500 Pearl Street, New York, NY 10007 before Judge Robert W. Sweet.) (Signed by Judge Robert W. Sweet on 9/6/2011) (mro) Modified on 9/12/2011 (mro). (Entered: 09/08/2011)
09/09/2011	<a href="#">201</a>	POST TRIAL MEMORANDUM. Document filed by Lewis Chester, Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD.. (Attachments: # <a href="#">1</a> Appendix)(Razzano, Frank) (Entered: 09/09/2011)
09/09/2011	<a href="#">202</a>	POST TRIAL MEMORANDUM. Document filed by Securities and Exchange Commisison.(Dunnigan, Christopher) (Entered: 09/09/2011)



09/14/2011	<a href="#">203</a>	ORDER: The scheduling order of September 6, 2011 is hereby vacated and amended as follows: Federated Investors, Inc.'s motion for intervention and a protective order, dated August 25, 2011, will be heard at noon on Wednesday, September 21, 2011, in Courtroom 18C. All motion papers shall be served in accordance with Local Civil Rule 6.1. Set Deadlines/Hearing as to <a href="#">197</a> MOTION for Protective Order. ( Motion Hearing set for 9/21/2011 at 12:00 PM in Courtroom 18C, 500 Pearl Street, New York, NY 10007 before Judge Robert W. Sweet.) (Signed by Judge Robert W. Sweet on 9/14/11) (pl) (Entered: 09/14/2011)
09/19/2011	<a href="#">204</a>	ORDER granting <a href="#">197</a> Motion for Protective Order. The documents which Federated produced to the Securities and Exchange Commission ("SEC") during the SEC's investigation into market timing, late trading, the charging of fees, and other practices at Federated which the SEC produced or otherwise disclosed to Defendants in this action, and any other document which would reveal the commercially sensitive, confidential, non-public, and/or proprietary information contained in the documents Federated produced to the SEC, may not be used or disseminated outside of this action. Nothing in this Order, however, shall restrict the SEC from making routine use of said documents as set forth in SEC Forms 1661 and 1662. (Signed by Judge Robert W. Sweet on 9/19/2011) (cd) (Entered: 09/19/2011)
09/27/2011		Minute Entry for proceedings held before Judge Robert W. Sweet: Oral Argument held on 9/27/2011. Final argument held by the Court. Motion pending (on the merits). (lmb) (Entered: 10/25/2011)
02/14/2012	<a href="#">205</a>	OPINION: #101442 For the reasons set forth within, Defendants and Relief Defendant, PSPF, shall disgorge the total of their pecuniary gain on trades through TW&Co., a sum of \$38,416,500 plus pre-judgment interest. Civil penalties of \$38,416,500 are additionally imposed and injunctive relief is granted. Submit judgment upon notice. (Signed by Judge Robert W. Sweet on 2/14/2012) (ab) Modified on 2/17/2012 (jab). (Entered: 02/14/2012)
02/14/2012	<a href="#">207</a>	INTERNET CITATION NOTE: Material from decision with Internet citation re: <a href="#">205</a> Memorandum & Opinion. (Attachments: # <a href="#">1</a> Formn-1a, # <a href="#">2</a> Investment Management April 2001 Letter to the ICI Regarding Valuation Issu) (tro) (Entered: 02/28/2012)
02/27/2012	<a href="#">206</a>	ENDORSED LETTER addressed to Judge Robert W. Sweet from Frank C. Razzano dated 2/21/2012 re: counsel for defendants respectfully requests an extension until March 2, 2012 to provide their proposed final judgment. ENDORSEMENT: So Ordered. (Signed by Judge Robert W. Sweet on 2/23/2012) (pl) (Entered: 02/27/2012)
03/08/2012	<a href="#">208</a>	ORDER: In light of the letters submitted to the Court, the parties are directed to submit any proposed judgments and briefing regarding the final judgment by Monday, March 19, 2012. Replies will be due Wednesday, March 21, 2012 by 11 A.M. Oral argument will be held as to any issues relating to the final judgment at noon on Wednesday, March 21, 2012 in Courtroom 18C., ( Replies due by 3/21/2012.), ( Oral Argument set for 3/21/2012 at 12:00 PM in Courtroom 18C, 500 Pearl Street, New York, NY 10007 before Judge Robert W. Sweet.) (Signed by Judge Robert W. Sweet on 3/8/2012) (lmb)

		(Entered: 03/09/2012)
03/19/2012	<a href="#">209</a>	BRIEF <i>in Support of Defendants' Counter-Proposed Final Judgment</i> . Document filed by Lewis Chester, Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD.. (Attachments: # <a href="#">1</a> Text of Proposed Order Defendants' Counter-Proposed Final Judgment, # <a href="#">2</a> Exhibit Exhibit A) (Razzano, Frank) (Entered: 03/19/2012)
03/19/2012	<a href="#">210</a>	<b>FILING ERROR - WRONG EVENT TYPE SELECTED FROM MENU</b> - FIRST BRIEF <i>Regarding the Imposition of Civil Penalties as to Defendants Pentagon Capital Mgmt. PLC and Lewis Chester</i> . Document filed by Securities and Exchange Commisison. (Attachments: # <a href="#">1</a> Exhibit A-B) (Dunnigan, Christopher) Modified on 3/20/2012 (ka). (Entered: 03/19/2012)
03/20/2012		<b>***NOTE TO ATTORNEY TO RE-FILE DOCUMENT - EVENT TYPE ERROR. Note to Attorney Christopher John Dunnigan to RE-FILE Document <a href="#">210</a> Brief. Use the event type Memorandum of Law(non-motion) found under the event list Other Answers.***NOTE: Insert in text "Post Trial" right in front of Memorandum. (ka)</b> (Entered: 03/20/2012)
03/20/2012	<a href="#">211</a>	POST TRIAL MEMORANDUM. Document filed by Securities and Exchange Commisison. (Attachments: # <a href="#">1</a> Exhibit A-B)(Dunnigan, Christopher) (Entered: 03/20/2012)
03/21/2012	<a href="#">212</a>	REPLY <i>Memorandum of Law Regarding Imposition of Penalties in the Final Judgment</i> . Document filed by Securities and Exchange Commisison. (Dunnigan, Christopher) (Entered: 03/21/2012)
03/21/2012	<a href="#">213</a>	BRIEF <i>In Support of Defendants' Counter-Proposed Final Judgment</i> . Document filed by Lewis Chester, Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD..(Razzano, Frank) (Entered: 03/21/2012)
03/21/2012		Minute Entry for proceedings held before Judge Robert W. Sweet: Motion Hearing held on 3/21/2012 re: <a href="#">100</a> FIRST MOTION for Partial Summary Judgment <i>Memorandum in Support of Plaintiff's Motion for Partial Summary Judgment Regarding Defendants' Late Trading Through Trautman Wasserman &amp; Co.</i> filed by Securities and Exchange Commisison. (ft) (Entered: 03/26/2012)
03/28/2012	<a href="#">214</a>	OPINION: #101635 The evidence presented at trial established that defendants engaged in an intentional and egregious fraudulent late trading scheme over the course of several years, involving thousands of transactions violative of the federal securities laws. In light of the facts and circumstances of this case, civil penalties of \$38,416,500 are assessed jointly and severally on defendants PCM and Chester. (Signed by Judge Robert W. Sweet on 3/28/2012) (mro) Modified on 4/3/2012 (jab). (Entered: 03/28/2012)
03/28/2012	<a href="#">215</a>	FINAL JUDGMENT #12,0514 in favor of Securities and Exchange Commission against Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., and Lewis Chester in the amount of \$ 60,204,423.20. (Signed by Judge Robert W. Sweet on 3/28/12) (Attachments: # <a href="#">1</a> NOTICE

		OF RIGHT TO APPEAL)(ml) (Entered: 03/28/2012)
03/28/2012	<a href="#">216</a>	INTERNET CITATION NOTE: Material from decision with Internet citation re: <a href="#">214</a> Memorandum & Opinion. (tro) (Entered: 04/04/2012)
04/05/2012	<a href="#">217</a>	<b>FILING ERROR - DEFICIENT DOCKET ENTRY -</b> MOTION to Stay ( <i>Defendants' Motion To Stay Judgment Without Bond Pending Appeal</i> ). Document filed by Lewis Chester, Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD.. (Attachments: # <a href="#">1</a> Supplement Memorandum Of Points and Authorities In Support of Defendants' Motion To Stay Judgment Without Bond Pending Appeal, # <a href="#">2</a> Affidavit Exhibit A: Declaration Of John Frank Rosenheim, # <a href="#">3</a> Text of Proposed Order Proposed Order)(Razzano, Frank) Modified on 4/6/2012 (db). (Entered: 04/05/2012)
04/05/2012		<b>***NOTE TO ATTORNEY TO RE-FILE DOCUMENT - DEFICIENT DOCKET ENTRY ERROR. Note to Attorney Frank Charles Razzano to RE-FILE Document <a href="#">217</a> MOTION to Stay (<i>Defendants' Motion To Stay Judgment Without Bond Pending Appeal</i>). MOTION to Stay (<i>Defendants' Motion To Stay Judgment Without Bond Pending Appeal</i>). MOTION to Stay (<i>Defendants' Motion To Stay Judgment Without Bond Pending Appeal</i>). ERROR(S): Supporting Documents are filed separately, each receiving their own document #. (db)</b> (Entered: 04/06/2012)
04/06/2012	<a href="#">218</a>	MOTION to Stay re: <a href="#">215</a> Judgment, <i>Defendants' Motion To Stay Judgment Without Bond Pending Appeal</i> . Document filed by Lewis Chester, Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD.. (Attachments: # <a href="#">1</a> Text of Proposed Order)(Razzano, Frank) (Entered: 04/06/2012)
04/06/2012	<a href="#">219</a>	MEMORANDUM OF LAW in Support re: <a href="#">218</a> MOTION to Stay re: <a href="#">215</a> Judgment, <i>Defendants' Motion To Stay Judgment Without Bond Pending Appeal</i> . MOTION to Stay re: <a href="#">215</a> Judgment, <i>Defendants' Motion To Stay Judgment Without Bond Pending Appeal</i> .. Document filed by Lewis Chester, Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD.. (Razzano, Frank) (Entered: 04/06/2012)
04/06/2012	<a href="#">220</a>	DECLARATION of John Frank Rosenheim in Support re: <a href="#">218</a> MOTION to Stay re: <a href="#">215</a> Judgment, <i>Defendants' Motion To Stay Judgment Without Bond Pending Appeal</i> . MOTION to Stay re: <a href="#">215</a> Judgment, <i>Defendants' Motion To Stay Judgment Without Bond Pending Appeal</i> .. Document filed by Lewis Chester, Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD.. (Razzano, Frank) (Entered: 04/06/2012)
04/09/2012	<a href="#">221</a>	ORDER: that Defendants' motion to stay the judgment, dated April 5, 2012, will be heard at noon on Wednesday, April 25, 2012 in courtroom 18C. All motion papers shall be served in accordance with Defendants' proposed schedule, as outlined in Defendants' letter dated April 2, 2012. (Signed by Judge Robert W. Sweet on 4/6/2012) (pl) Modified on 4/9/2012 (pl). (Entered: 04/09/2012)
04/09/2012		Set/Reset Deadlines as to Motion Hearing set for 4/25/2012 at 12:00 PM in Courtroom 18C, 500 Pearl Street, New York, NY 10007 before Judge Robert W. Sweet. (pl) (Entered: 04/09/2012)

04/16/2012	<a href="#">222</a>	MEMORANDUM OF LAW in Opposition re: <a href="#">218</a> MOTION to Stay re: <a href="#">215</a> Judgment, <i>Defendants' Motion To Stay Judgment Without Bond Pending Appeal</i> . MOTION to Stay re: <a href="#">215</a> Judgment, <i>Defendants' Motion To Stay Judgment Without Bond Pending Appeal</i> .. Document filed by Securities and Exchange Commisison. (Gizzi, Paul) (Entered: 04/16/2012)
04/25/2012	<a href="#">223</a>	REPLY MEMORANDUM OF LAW in Support re: <a href="#">218</a> MOTION to Stay re: <a href="#">215</a> Judgment, <i>Defendants' Motion To Stay Judgment Without Bond Pending Appeal</i> . MOTION to Stay re: <a href="#">215</a> Judgment, <i>Defendants' Motion To Stay Judgment Without Bond Pending Appeal</i> .. Document filed by Lewis Chester, Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD.. (Razzano, Frank) (Entered: 04/25/2012)
04/25/2012	<a href="#">224</a>	NOTICE OF APPEAL from <a href="#">215</a> Judgment,. Document filed by Lewis Chester, Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD.. Form C and Form D are due within 14 days to the Court of Appeals, Second Circuit. (Razzano, Frank) (Entered: 04/25/2012)
04/25/2012		Transmission of Notice of Appeal and Certified Copy of Docket Sheet to US Court of Appeals re: <a href="#">224</a> Notice of Appeal. (nd) (Entered: 04/25/2012)
04/25/2012		Appeal Record Sent to USCA (Electronic File). Certified Indexed record on Appeal Electronic Files for <a href="#">182</a> Notice of Filing Transcript, <a href="#">89</a> Endorsed Letter, <a href="#">88</a> Stipulation and Order,, <a href="#">120</a> Endorsed Letter, <a href="#">86</a> MOTION for Issuance of Letters Rogatory <i>Request for Assistance Pursuant to the Hague Convention</i> . filed by Securities and Exchange Commisison, <a href="#">110</a> Order, Set Motion and R&R Deadlines/Hearings,,,, <a href="#">92</a> FIRST MOTION for Partial Summary Judgment <i>Notice of Motion for Partial Summary Judgment</i> . filed by Securities and Exchange Commisison, <a href="#">71</a> Notice (Other), Notice (Other) filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester, <a href="#">87</a> Order on Motion for Issuance of Letters Rogatory,, <a href="#">124</a> Notice (Other) filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester, <a href="#">6</a> Endorsed Letter, Set Deadlines/Hearings,, <a href="#">207</a> Internet Citation, <a href="#">63</a> Memorandum & Opinion, <a href="#">112</a> MOTION in Limine <i>To Determine the Admissibility of Former Testimony of Unavailable Witnesses</i> . filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester, <a href="#">75</a> Memorandum of Law in Opposition to Motion, filed by Securities and Exchange Commisison, <a href="#">84</a> Order, Set Deadlines/Hearings, <a href="#">186</a> Notice of Filing Transcript, <a href="#">11</a> MOTION to Dismiss. filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester, <a href="#">17</a> Endorsed Letter, Set Deadlines/Hearings,, <a href="#">114</a> FIRST MOTION in Limine <i>Regarding Defendants Use of Documents Not Relating to Trading in U.S. Mutual Funds</i> . filed by Securities and Exchange Commisison, <a href="#">195</a> Post Trial Memorandum filed by Securities and Exchange Commisison, <a href="#">162</a> Transcript,, <a href="#">135</a> Declaration in Opposition to Motion, filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester, <a href="#">177</a> Notice of Filing Transcript, <a href="#">122</a> Response in Opposition to Motion filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester, <a href="#">118</a> Memorandum of Law in Support of Motion filed by Securities and Exchange Commisison, <a href="#">170</a> Transcript,, <a href="#">142</a> Transcript,, <a href="#">40</a> Memorandum of



Law in Opposition to Motion filed by Securities and Exchange Commisison, [116](#) Memorandum of Law in Support of Motion filed by Securities and Exchange Commisison, [174](#) Transcript,, [132](#) Memorandum of Law in Opposition to Motion, filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester, [45](#) Application for Letters Rogatory filed by Securities and Exchange Commisison, [218](#) MOTION to Stay re: [215](#) Judgment, *Defendants' Motion To Stay Judgment Without Bond Pending Appeal*. MOTION to Stay re: [215](#) Judgment, *Defendants' Motion To Stay Judgment Without Bond Pending Appeal*. filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester, [19](#) Notice of Appearance filed by Securities and Exchange Commisison, [136](#) Declaration in Support of Motion, filed by Securities and Exchange Commisison, [38](#) Order, Set Motion and R&R Deadlines/Hearings,, [74](#) Endorsed Letter, Set Deadlines/Hearings, [23](#) MOTION to Dismiss *Amended Complaint*. filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester, [183](#) Notice of Filing Transcript, [2](#) Notice of Appearance filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester, [30](#) Memorandum & Opinion, [133](#) Memorandum of Law in Opposition to Motion, filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester, [42](#) MOTION in Limine to Determine the Admissibility of Congressional Testimony of the Former Director of the Division of Enforcement of the US SEC. filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester, [119](#) Declaration in Support of Motion, filed by Securities and Exchange Commisison, [213](#) Brief filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester, [103](#) Certificate of Service Other,, filed by Securities and Exchange Commisison, [44](#) Order, Set Motion and R&R Deadlines/Hearings,, [131](#) Memorandum of Law in Opposition to Motion, filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester, [90](#) Endorsed Letter, [54](#) Order on Motion to Appear Pro Hac Vice, [178](#) Notice of Filing Transcript, [168](#) Transcript,, [83](#) Memorandum of Law in Support filed by Securities and Exchange Commisison, [113](#) Memorandum of Law in Support of Motion, filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester, [216](#) Internet Citation, [57](#) Order, [55](#) Reply Memorandum of Law in Support of Motion, filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester, [223](#) Reply Memorandum of Law in Support of Motion, filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester, [190](#) Notice of Filing Transcript, [219](#) Memorandum of Law in Support of Motion, filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester, [208](#) Order, Set Deadlines, Set Hearings,,,,,, [50](#) Order, Set Deadlines/Hearings,,,,,,, [1](#) Complaint filed by Securities and Exchange Commisison, [199](#) Certificate of Service Other filed by Federated Investors, Inc., [7](#) Rule 7.1 Corporate Disclosure Statement filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester, [76](#) Order, Set Motion and R&R Deadlines/Hearings,, [137](#) Memorandum of Law in Opposition to Motion filed by Securities and Exchange Commisison, [51](#) Endorsed Letter, Set Motion and R&R Deadlines/Hearings,, [108](#) Declaration in Support of Motion,, filed by



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Commisison, [107](#) Declaration in Support of Motion,,, filed by Securities and Exchange Commisison, [79](#) Memorandum & Opinion, [224](#) Notice of Appeal filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester, [201](#) Post Trial Memorandum filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester, [52](#) MOTION for John C. Lehmann, Jr. to Appear Pro Hac Vice. filed by Securities and Exchange Commisison, [111](#) Pretrial Memorandum filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester, [13](#) Endorsed Letter, Set Deadlines/Hearings, [202](#) Post Trial Memorandum filed by Securities and Exchange Commisison, [14](#) Order, [160](#) Transcript,, [5](#) Notice of Appearance filed by Securities and Exchange Commisison, [62](#) Order,,, [212](#) Reply filed by Securities and Exchange Commisison, [156](#) Transcript,, [187](#) Notice of Filing Transcript, [191](#) Notice of Filing Transcript, [117](#) SECOND MOTION in Limine *Regarding the Expert Testimony of Prof. Jonathan Macey*. filed by Securities and Exchange Commisison, [146](#) Transcript,, [78](#) Pretrial Order, [82](#) Application for Letters Rogatory filed by Securities and Exchange Commisison, [37](#) Memorandum of Law in Support of Motion,, filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester, [215](#) Judgment, [60](#) Application for Letters Rogatory filed by Securities and Exchange Commisison, [25](#) Order, Set Motion and R&R Deadlines/Hearings,, [196](#) Proposed Findings of Fact filed by Securities and Exchange Commisison, [31](#) Pretrial Order, Set Deadlines/Hearings, [203](#) Order, Set Motion and R&R Deadlines/Hearings,,, [194](#) Proposed Findings of Fact filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester, [77](#) Reply Memorandum of Law in Support of Motion, filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester, [3](#) Notice of Appearance filed by Securities and Exchange Commisison, [10](#) Endorsed Letter, Set Deadlines/Hearings,,, [152](#) Transcript,, [128](#) MOTION in Limine *to Preclude Defendants from Calling Witnesses they Failed to Identify in their Initial Disclosures or in Discovery*. filed by Securities and Exchange Commisison, [49](#) Memorandum of Law in Opposition to Motion, filed by Securities and Exchange Commisison, [164](#) Transcript,, [141](#) Order on Motion for Partial Summary Judgment, [123](#) Response in Opposition to Motion, filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester, [205](#) Memorandum & Opinion, [18](#) MOTION for Matthew D. Foster to Appear Pro Hac Vice. filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester, [59](#) Application for Letters Rogatory filed by Securities and Exchange Commisison, [80](#) Endorsed Letter, Set Deadlines,,, [185](#) Notice of Filing Transcript, [27](#) Reply Memorandum of Law in Support of Motion, filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester, [81](#) Memorandum & Opinion, [115](#) Declaration in Support of Motion, filed by Securities and Exchange Commisison, [192](#) Notice of Filing Transcript, [130](#) Declaration in Support of Motion, filed by Securities and Exchange Commisison, [28](#) Order,, [211](#) Post Trial Memorandum filed by Securities and Exchange Commisison, [26](#) Memorandum of Law in Opposition to Motion filed by Securities and Exchange Commisison, [32](#) Answer to Amended Complaint filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis

		Chester, <a href="#">48</a> Memorandum of Law in Support, filed by Securities and Exchange Commisison, <a href="#">189</a> Notice of Filing Transcript, <a href="#">101</a> Rule 56.1 Statement filed by Securities and Exchange Commisison, <a href="#">39</a> Endorsed Letter, Set Deadlines/Hearings,,,,, <a href="#">184</a> Notice of Filing Transcript, <a href="#">197</a> MOTION for Protective Order. filed by Federated Investors, Inc., <a href="#">140</a> Order, Set Deadlines/Hearings,, were transmitted to the U.S. Court of Appeals. (nd) (Entered: 04/25/2012)
04/25/2012	<a href="#">225</a>	MEMO ENDORSEMENT granting <a href="#">218</a> Motion to Stay Judgment without Prejudice Bond Pending Appeal. ENDORSEMENT: The motion to stay the enforcement of the judgment is granted. The stay will expire on May 4, 2012 unless a supersedeas bond the amount of \$60 million is filed. So Ordered. (Signed by Judge Robert W. Sweet on 4/25/2012) (tro) (Entered: 04/26/2012)
04/25/2012		Minute Entry for proceedings held before Judge Robert W. Sweet: Motion Hearing held on 4/25/2012 re: <a href="#">218</a> MOTION to Stay re: <a href="#">215</a> Judgment, <i>Defendants' Motion To Stay Judgment Without Bond Pending Appeal</i> . MOTION to Stay re: <a href="#">215</a> Judgment, <i>Defendants' Motion To Stay Judgment Without Bond Pending Appeal</i> . filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester. (dj) (Entered: 04/26/2012)
04/30/2012		Appeal Fee Paid electronically via Pay.gov: for <a href="#">224</a> Notice of Appeal. Filing fee \$ 455.00. Pay.gov receipt number 0208-7423814, paid on 04/30/2012. <b>USCA Case number: 12-1680-cv.</b> (nd) (Entered: 05/23/2012)
05/02/2012	<a href="#">226</a>	ORDER of USCA (Certified Copy) as to <a href="#">224</a> Notice of Appeal filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester USCA Case Number 12-1680. IT IS HEREBY ORDERED that the motion by appellants Lewis Chester and Pentagon Capital Management PLC to stay the judgment of the District Court without bond will be submitted to a motions panel as soon as possible. The judgment of the District Court is stayed pending determination of the stay motion by the motions panel, subject to appellant filing a stay motion and memorandum of law on or before May 8, 2012 at noon. Catherine O'Hagan Wolfe, Clerk USCA for the Second Circuit. Certified: 05/2/2012. (nd) (Entered: 05/02/2012)
05/24/2012	<a href="#">227</a>	ORDER of USCA (Certified Copy) as to <a href="#">224</a> Notice of Appeal filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD., Lewis Chester USCA Case Number 12-1680. Appellants, through counsel, move for a stay of the District Court's judgment without bond pending appeal. Upon due consideration, it is hereby ORDERED that Appellants' motion is DENIED. Catherine O'Hagan Wolfe, Clerk USCA for the Second Circuit. Certified: 5/23/2012. (nd) (Entered: 05/24/2012)
06/07/2012	<a href="#">228</a>	NOTICE OF APPEARANCE by John J. Graubard on behalf of Securities and Exchange Commisison (Graubard, John) (Entered: 06/07/2012)
06/07/2012	<a href="#">229</a>	NOTICE of Restraining Notice under CPLR 5222 to Pentagon Capital Management PLC. Document filed by Securities and Exchange Commisison. (Graubard, John) (Entered: 06/07/2012)

06/07/2012	<a href="#">230</a>	NOTICE of Restraining Notice under CPLR 5222 to Lewis Chester. Document filed by Securities and Exchange Commisison. (Graubard, John) (Entered: 06/07/2012)
06/07/2012	<a href="#">231</a>	NOTICE of Restraining Notice under CPLR 5222 to Pentagon Special Purpose Fund, Ltd.. Document filed by Securities and Exchange Commisison. (Graubard, John) (Entered: 06/07/2012)
07/10/2012	<a href="#">232</a>	ORDER: Defendants' letter dated July 5, 2012, seeking permission to withdraw as counsel for Defendant Pentagon Capital Management PLC ("PCM") and Relief Defendant Pentagon Special Purpose Fund, Ltd. ("PSPF") will be treated as a motion. Citing to Local Civil Rule 1.4, by letter dated July 6, 2012, the Plaintiff Securities and Exchange Commission (the "SEC") opposes Defendants' request to withdraw as counsel for PCM and PSPF. Separately, Defendant Lewis Chester ("Mr. Chester") seeks to substitute Seyfarth Shaw LLP as his counsel in place of Pepper Hamilton. The SEC does not oppose Mr. Chester's request to substitute counsel. As there is no opposition to Mr. Chester's request, it is hereby granted, subject to a proposed substitution, of counsel signed by current counsel at Pepper Hamilton and incoming counsel at Seyfarth Shaw. Recognizing the need for further submissions as to the Defendants' request to withdraw as counsel for PCM and PSPF and allowing for Defendants to have an opportunity to consult with counsel for the Administrator of PCM, the Court hereby orders that a supplemental submission by the Defendants shall be submitted by Friday, July 13, 2012 and any opposition by the SEC to the supplemental submission shall be submitted by Wednesday, July 18, 2012. Moreover, any further application to the Court as to the above captioned matter should be made by formal motion. (Signed by Judge Robert W. Sweet on 7/9/2012) (mro) (Entered: 07/10/2012)
07/13/2012	<a href="#">233</a>	STIPULATION AND ORDER AUTHORIZING SUBSTITUTION OF ATTORNEYS FOR DEFENDANT LEWIS CHESTER: Pursuant to Rule 1.4 of the Local Civil Rules of the United States District Courts for the Southern and Eastern Districts of New York, it is hereby stipulated and agreed by and between the undersigned counsel that Seyfarth Shaw LLP shall be substituted as counsel of record for Defendant Lewis Chester in the place and stead of Pepper Hamilton LLP. (Signed by Judge Robert W. Sweet on 7/11/2012) (jfe) (Entered: 07/13/2012)
07/13/2012	<a href="#">234</a>	<b>FILING ERROR - DEFICIENT DOCKET ENTRY -</b> MOTION for PEPPER HAMILTON LLP to Withdraw as Attorney. Document filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD. Return Date set for 7/25/2012 at 12:00 PM. (Attachments: # <a href="#">1</a> Text of Proposed Order, # <a href="#">2</a> Affidavit)(Razzano, Frank) Modified on 7/16/2012 (db). (Entered: 07/13/2012)
07/16/2012		<b>***NOTE TO ATTORNEY TO RE-FILE DOCUMENT - DEFICIENT DOCKET ENTRY ERROR. Note to Attorney Frank Charles Razzano to RE-FILE Document <a href="#">234</a> MOTION for PEPPER HAMILTON LLP to Withdraw as Attorney. ERROR(S): Supporting Documents are filed separately, each receiving their own document #. (db)</b> (Entered: 07/16/2012)

07/16/2012	<a href="#">235</a>	MOTION for PEPPER HAMILTON LLP to Withdraw as Attorney. Document filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD.. (Attachments: # <a href="#">1</a> Text of Proposed Order)(Razzano, Frank) (Entered: 07/16/2012)
07/16/2012	<a href="#">236</a>	MEMORANDUM OF LAW in Support re: <a href="#">235</a> MOTION for PEPPER HAMILTON LLP to Withdraw as Attorney.. Document filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD.. (Razzano, Frank) (Entered: 07/16/2012)
07/16/2012	<a href="#">237</a>	DECLARATION of Ivan Knauer in Support re: <a href="#">235</a> MOTION for PEPPER HAMILTON LLP to Withdraw as Attorney.. Document filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD.. (Razzano, Frank) (Entered: 07/16/2012)
07/18/2012	<a href="#">238</a>	FIRST MEMORANDUM OF LAW in Opposition re: <a href="#">235</a> MOTION for PEPPER HAMILTON LLP to Withdraw as Attorney.. Document filed by Securities and Exchange Commisison. (Dunnigan, Christopher) (Entered: 07/18/2012)
07/18/2012	<a href="#">239</a>	DECLARATION of Christopher J. Dunnigan in Opposition re: <a href="#">235</a> MOTION for PEPPER HAMILTON LLP to Withdraw as Attorney.. Document filed by Securities and Exchange Commisison. (Attachments: # <a href="#">1</a> Exhibit 1, # <a href="#">2</a> Exhibit 2, # <a href="#">3</a> Exhibit 3, # <a href="#">4</a> Exhibit 4, # <a href="#">5</a> Exhibit 5, # <a href="#">6</a> Exhibit 6, # <a href="#">7</a> Exhibit 7)(Dunnigan, Christopher) (Entered: 07/18/2012)
07/20/2012	<a href="#">240</a>	REPLY MEMORANDUM OF LAW in Support re: <a href="#">235</a> MOTION for PEPPER HAMILTON LLP to Withdraw as Attorney.. Document filed by Pentagon Capital Management PLC, Pentagon Special Purpose Fund, LTD.. (Attachments: # <a href="#">1</a> Exhibit 1)(Razzano, Frank) (Entered: 07/20/2012)
07/25/2012	<a href="#">241</a>	MEMORANDUM AND OPINION: #102109 as to ORDER granting <a href="#">235</a> Motion to Withdraw as Attorney. Attorney Frank Charles Razzano terminated. Based upon the conclusions set forth above, the Pepper Hamilton's motion to withdraw as counsel is granted as to PSPF and denied as to PCM.(Signed by Judge Robert W. Sweet on 7/23/2012) (ama) Modified on 7/30/2012 (ama). Modified on 7/30/2012 (jab). (Entered: 07/25/2012)
08/22/2012	<a href="#">242</a>	ORDER: The opinion of this Court dated February 14, 2012 in the above captioned action is hereby amended as follows: Line 14 on Page 8, which currently reads "100 x \$10 + 200 x \$40 = \$10,000" is to be amended to: "100 x \$20 + 200 x \$40 = \$10,000" (Signed by Judge Robert W. Sweet on 8/20/2012) (lmb) (Entered: 08/22/2012)